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ABSTRACT

The 15 papers in this compilation focus on library nagement and technology, including information technology, statistics, buildings and equipment, and conservation: (1) "Information Control: OSI (Open Systems Interconnection) and Networking Strategies" (Neil McClean, United Kingdom); (2) "OSI in Australia: Potential, Planning, Progress" (Rona Wade, Australia); (3) "OSI and Distributed Applications" (S. Michael Malinconico, United States); (4) "Statistical Data Gathering in Australian Libraries--A Resume" (F. C. H. Exon & J. Eccleston, Australia); (5) "Performance Measurement: Principles and Practice" (Geoffrey Ford, United Kingdom); (6) "The Use of Performance Measures by Public Libraries in the United States" (Clarence Walters, United States); (7) "The Post Occupation Evaluation of the New National Library of New Zealand Building" (Alan Smith, New Zealand); (8) "Library Technology Development and Its Impact on the Library Building Interior" (V. M. Krasiltshikova, USSR); (9) "Preservation Planning in Europe" (D. W. G. Clements, United Kingdom, & J. M. Arnoult, France); (10) "Preservation of Library Materials in India: Proposals and Plan" (A. L. Kapoor, India); (11) "The Australian National Preservation Program--A Progress Report" (Jan Lyall & Janine Schmidt, Australia); (12) "Strategic Planning for Library Associations" (Roger Parent, United States); (13) "Status of Librarians in Asean (Association of Southeast Asia Nations) Countries" (Miriam Abdul Kadir, Malaysia); (14) "The Swedish National Archive of Recorded Sound and Moving Images--the ALB (Arkivet for Ljud och Bild)" (Sven Allerstrand, Sweden); and (15) "The National Collection of Audiovisual Materials: Some Problems and Practices" (Catherine Pinion, United Kingdom). (CGD)

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Division of Management and Technology

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Data conversion by Saztec Information Services as a contribution to IFLA/LAA 1988

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INFORMATION CONTROL: OSI AND NETWORKING STRATEGIES

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ABSTRACT

The convergence of communications technology and computer technology has resulted in the development of the Open Systems Interconnection (OSI) Reference Model which permits communication between computers both within and between organisations. There are now national and international library initiatives concerned with developing applications for bibliographic searching and transfer of records and also interlending. In parallel with these initiatives it is important to reevaluate the role of the library at an institutional level where open systems architecture and distributed processing are changing work practices. The key concept to be explored is the role of the library in the management of information services which will serve potential applications at the workstation level.

The foundations of the first phase of the information revolution are now firmly established. The rapid development of computer technology has permitted organisations of all types to convert functional files into machine readable form, to manipulate them in new ways and, hence, to achieve significant increases in productivity when compared with the old manual systems. It is no accident, therefore, that the most dramatic achievements have occurred in large corporate companies and, indeed, in libraries where there is a high level of transactional business. But the increases in productivity have resulted mainly from improving on the efficiency of the old manual systems and few organisations have had to change their basic structures to accommodate this first phase of computerisation.

We are now seeing, however, a shift in emphasis as the convergence of computer technology and communications technology present vast potential for new means of providing and exchanging information. This second phase of the information revolution is likely to change the nature of the structures within institutions and change also the relationship between institutions, particularly those which are primarily concerned with information provision such as publishers, booksellers, data base producers and libraries.

But the rapid development of communications technology is not sufficient in itself to achieve success. Computers must be connected to each other through communication networks and they must also be able to interact with each other. It is in this context that the development of Open Systems Interconnection (OSI) has acquired such strategic importance because it offers the best prospect of establishing universally compatible intercommunicating machines.

The fundamental objective of OSI "... is to provide a globally agreed framework for the design of systems required to interoperate."[1] This is being done through the development of a Basic Reference Model for OSI. The Reference Model is primarily concerned with the relationships between four basic elements of the environment:

- The systems between which communications are to be established;
- The application processes or programs which are run on those systems and between which interworking is required;
- The connections joining the application processes which enable them to exchange information;
- The physical media for transmission of date (e.g. telephone lines or public date networks).[2]

In other words, it aims to facilitate the interworking of computer systems within an organisation and between organisations.

Most of the major computer hardware companies in the Western World now have a commitment to the development of OSI but this is not to say that OSI is an instant panacea for all ills. The development is an evolutionary process and the formulation of standards will be in a constant state of flux. The international system of agreeing standards is a very slow process and de facto industry standards often come into being in advance of international agreement. But there is now a widespread consensus that OSI will be a key strategic goal for the next decade.

It is no surprise; therefore, that librarians should have taken such a strong interest in OSI over the past couple of years, because the effective exchange of information is dependent upon the ability of computers to interact with each other. The extent of this interest was reflected in the proceedings of the first international conference for librarians on OSI which was held at a pre-IFLA seminar in London, U.K. last August. This seminar identified the potential for OSI across a number of library applications. These were acquisitions, cataloguing, information search and transfer, file transfer and interlibrary loan. There was agreement also that electronic publishing, electronic document delivery and networking directories were important applications in an open systems environment. Most of the attention, so far, has centred on the principle requirements for the national and international exchange of information and these will continue to be most important goals. The communication protocols at the lower levels of the Reference Model are now sufficiently stable to permit applications based on large scale file transfer, search strategies and interlending through messaging systems.

Work is proceeding in at least nine countries on the development of such applications. It is vital that the infrastructure be established on a national and international scale based on the adoption of common protocols and, if possible, a minimum number of functional profiles. IFLA has encouraged such a programme of international collaboration and at the 1987 meeting it adopted the following resolution:

"In order to promote the ability to share resources through electronic means for improved services to library users;
In order to facilitate communication for the interchange of information resources;
and, in order to reduce the effort and cost of implementing and using computerised library systems;
IFLA endorses the further development of ISO and CCITT standards for Open Systems Interconnection and their adoption by the IFLA membership."[3]

But, whilst accepting the importance of these international initiatives and their implications for the global provision and exchange of information, it is essential that we turn our attention to the requirements of OSI in the local institutional context. We need to explore the potential of OSI as a means of developing access to a wide range of information services and products which may be mounted on the local institutional network or be available through external networks. It is through access at the local level that the information revolution will become a reality.

Many institutions, including academic institutions, have developed communications networks incorporating voice, date and increasingly images using proprietary networks. This has allowed a greater degree of resource sharing of hardware, software and information sources where the hardware and software are compatible. Within this networked environment the concept of the user workstation is undergoing rapid development. The user can reasonably expect to carry out a range of tasks at a local workstation based on the totality of the information system within the institution. At the moment most systems are based on single task operations and the ability to access, transfer and manage information within a particular workstation is still in a rudimentary state. But the concept of the workstation as a gateway to a variety of services is now well established.

OSI REFERENCE MODEL

	SYSTEM A		SYSTEM B	
Application nodes	7 APPLICATION	Provides all functions to exchange semantically meaningful information of application programs (e.g. FTAM, JTM, etc.)	7 APPLICATION	
	6 PRESENTATION	Structures data by selecting appropriate syntax for data representation and conversion (IS 8823 almost completed).	6 PRESENTATION	For interworking
	5 SESSION	Provides functionality to establish and manage dialogue between communicating machines. (IS 8327 specifies basic session protocol.)	5 SESSION	
User Interaction	4 TRANSPORT	Provides reliable cost effective data transfer, flow controlled end to end. (IS 8073 specifies protocol)	4 TRANSPORT	
Transmission nodes	3 NETWORK	Provides routing and switching functions for information exchange (e.g. CCITT X.25).	3 NETWORK	For interconnection
	2 DATA LINK	Provides error free transmission between terminal and network (e.g. High Level Data Link protocol).	2 DATALINK	
	1 PHYSICAL	Provides for digital data to be transferred across physical media (e.g. RS232C standard).	1 PHYSICAL	

Physical Link

There are now many institutions in all sectors of developed countries who are planning a transition to a communications architecture based on OSI. This is proving to be a fairly slow process because of the complexities of existing systems and because of the relatively slow emergence of OSI based services and products.

The rapid convergence of communications and computer technology, together with the evolution of OSI, has focussed attention on the management requirements of an open systems environment particularly the requirements of distributing processing systems. I am indebted in much of the following analysis to a report entitled Distributed Systems Management which has been produced by a Study Group set up in the UK.[4]

OSI is not, on its own, sufficient to provide an open market for information and information processing capabilities. There are diverse environments, subject to different policies and priorities all of which have to be managed in a global information context. The Study Group defines a distributed processing system as follows:

"A distributed processing system is one where several autonomous processors and data stores cooperate to achieve an overall goal."[5]

Distribution implies the need for a communication system to allow for interaction. It must support basic activities for the processing, storage and transfer of information and the components must evolve to incorporate the new functionality.

The objective, therefore, of communications using the OSI standards will be to support processing within end systems for specific applications. The distributed processing systems arising out of this enhanced communication capability will encompass the following characteristics:

- They will have to cope with any number of interconnected networks embracing multiple organisations or departments within an organisation.
- They must be vendor independent.
- Sophisticated man machine interfaces will be essential.
- Knowledge acquiring techniques will be an integral part of the system.
- They will have to deal with a disparity of information fields.
- High security levels will be necessary in such systems.
- Multiple variations of management information will be required to produce an overall working system.

The development of standards to cope with these complex requirements goes beyond the OSI Reference Model and it embraces the following areas:

- data base standards;
- standards for operating systems;
- graphics;
- data structures.

In order to address these requirements a New Work Item has been established within ISO to develop a Reference Model for Open Distributed Processing. It is anticipated, therefore, that management standards will emerge to unify the potential for communications with the actual day-to-day requirements of distributed processing systems. This will not occur easily as there are still a number of fundamental problems, namely:

- There is currently no widely accepted terminology for distributed systems.
- The problems relating to integration of non-homogeneous components to provide unified services have not been solved.
- Solutions are required for management gateways.
- Work is required on how to manage a non-homogeneous set of components which do not conform to a single protocol.

But the overall objective is to maintain the service required by users and to allow the system to evolve to include new functionality. This will be achieved by the combination of an open systems environment and distributed systems management.

In the light of these developments many organisations are now formulating a transition strategy, taking into account the technical, financial and practical constraints which prevail in the institution. Few organisations see such a strategy as being achieved under a three or four year time span. In practice, depending on the number and type of IT applications, any single institution will probably adopt a number of OSI profiles for interworking purposes.

How then should libraries respond to the challenges of an open systems environment? In preparing a response it is important to appreciate the current state of the art of library automation. The major systems configurations are a result of pre-OSI thinking and they certainly precede the distributed processing environment. The principle objective of the integrated standalone library systems has been the management control of basic functions such as acquisitions, cataloguing and circulation. Most of the current systems have added a public enquiry module to allow interrogation of the catalogue and circulation information. To date all these systems can be characterised as closed systems. They can be configured to permit access through local networks but, normally, no interaction is possible with other computers within the institution or with other library systems. There was no incentive either to suppliers of systems, or to library managers to do otherwise. Standalone systems seemed a desirable goal and the autonomy achieved was welcomed by library managers. It was the pinnacle of what I term the "control" phase of library automation but it is likely to prove a short term phenomenon.

In adapting to the changed institutional environment there are two broad perspectives which may prove helpful in identifying possible sources of action for the future development of library information systems. The first relates to the provision of information services within the institution and the second to the development of applications at the workstation level.

The first priority of libraries will continue to be the management functions concerned with maintaining and circulating the stock acquired by the institution. But the monolithic view inherent in the concept of a standalone system will have to be modified. At the acquisition level we are witnessing the emergence of links between publishers, booksellers and libraries, all of which have, currently, different standards for their computerised records. It is unreasonable from a political and economic viewpoint to expect a commonality of standards but OSI offers tremendous potential as a means of developing gateways between the various links in the publishing and distribution chain. In five years time library systems will need an acquisition module which is capable of communicating freely with a range of machines operated by booksellers and publishers.

The same rationale can be applied to the acquisition of catalogue records. The ability to acquire cataloguing data has been constrained by the exchange mechanisms hence the reliance on bibliographic utilities. But there is no particular reason why libraries should not have access to a range of catalogue source data thus avoiding the problematic issue of maintaining access to a central source of bibliographic records.

In turning to internal management matters, by far the most critical issue is that of providing sufficient processing power for public enquiry. The success of networked systems offering powerful public access facilities, particularly subject searching facilities, has brought many machines to a virtual standstill because of the lack of processing power. Within an open systems environment it is possible to distribute the public enquiry facility and the data base around the system independently of the management control functions but linked for management information purposes. This approach could alleviate the current trend towards purchasing bigger and bigger machines as part of the initial outlay and it could provide a management path of incremental growth.

The success of public enquiry facilities for access to locally generated catalogues through local area networks raises the more exciting prospect of mounting a range of information services within the institution. Such services are becoming available in many subjects and in a variety of formats. The major impediment to use is the variety of command languages needed to access them and the sheer complexities of mounting them simultaneously on the network. But the day is not too distant when a range of data bases using CD-ROM and other storage mediums will be sitting on the network as part of the public enquiry system. The concept of a distributed information system within the library context will have then become a reality. It is not my intention in this paper to deal with the management implications of implementing such a vision but merely to point out that an open systems environment will be essential to the success of any such venture.

The second perspective takes account of the rapid development of personal workstation facilities which are transforming the potential for both accessing, storing and using information. There are many ambitious projects in this area but, as usual, the thinking on information provision has not kept pace with the technological development. User expectations are growing rapidly as the more sophisticated facilities become available and the library standalone systems are likely to prove an inadequate response to the potential demands. Within the workstation concept a user can reasonably expect to interrogate the library catalogue, to reserve a book, to order an interlibrary loan, to conduct a search on other library catalogues, to search a CD-ROM, to interrogate external commercial data bases, to download from any of these sources, to merge files within the workstation and to integrate elements of the data with other software applications. The technology exists to achieve all these functions but the complexities of command languages, the difficulties of downloading and merging files, and the lack of management structures to deal with the transfer storage and manipulation of the files demands the application of an open system architecture with distributed systems management.

The two perspectives, that of the library as a provider of information services and that of the user workstation are complimentary

in theory but in practice there may be different scenarios if libraries do not begin planning for the future now. The point being that the development of user access to information services in an open systems environment will happen irrespective of library involvement. But in the absence of library involvement the development is likely to be piecemeal, expensive and lacking any concerted vision. The management of information access is rapidly taking over from the management of collections as the crucial strategic mission. But for this to be successful the library needs to be at the forefront of the open systems debate, specifying their requirements and ensuring that the necessary gateways are established as a priority within the institutional development.

There will be, however, no such thing as a total institutional information system for a variety of technical, political and economic reasons. Careful judgements will be required to ensure optimal use of limited resources in providing access to information. The principal thrust of this paper has been directed to the importance of distributed processing within a local area network environment. But the extent to which an institution mounts information services internally is dependent on the degree of cost effective access to external information services. This delicate balance is, to a large extent, dependent on the telecommunications policies within our respective countries and on the development of value added networks. It is likely that the relationship between internal services and external access will remain in a state of flux for at least another decade, which means that each institution must develop a range of options within the overall configuration. The key factors from an institutional viewpoint are the freedom of choice, the freedom to consolidate around particular functional networks and the freedom to access specialist services through gateways based on OSI.

For the library community it is important that there be some coordination of effort between the projects aimed at national and international cooperation and the needs of individual institutions. Because institutional developments are progressing with such vigour and innovation there is a danger of a growing disparity between the functional profiles developing for libraries and information access at the local level and those evolving at the national and international level. Functional profiles are, by definition, related to a particular set of user needs and it is of crucial importance that there be a close examination of the ways in which users in various environments are likely to avail themselves of the vastly increased capacity to create personal information systems.

In summary a clear definition is required of institutional requirements within an open systems environment with particular attention being given to the library's role in the manager of information services which will serve potential applications at the workstation level. I am sure that Michael Malinconico in the next paper will be able to present you with some practical advice on how these objectives can be achieved.

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015-INF-2-E

OSI IN AUSTRALIA: POTENTIAL, PLANNING, PROGRESS

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ABSTRACT

Open systems interconnection or OSI represents an approach to systems development which must become increasingly important in Australia as the nature of the national database is further defined and as library automation at the local and network levels proceeds. However, whilst the concept of open systems is gradually becoming part of the library and information agenda in Australia, progress in actual developments has been slow. This is despite the fact that Australian libraries have shown a most rapid and widespread acceptance of library automation. This paper outlines the progress OSI has made in Australia to date — what factors have shaped the debate and what factors will necessitate that heightened priority be given to OSI in the future.

Introduction

Any discussion of OSI at this stage in its development in the library and information world involves some exploration of the point of view of the speaker. A commitment to OSI involves a commitment to the concept of open systems. It also involves a commitment to looking longterm at where systems will be 1 year, 2 years, 3 years from now rather than at short term solutions to specific interfacing problems.

It is necessary, therefore, for me to say at the outset that I, and the organisation of which I am Executive Director, strongly support the development and use of internationally accepted open systems interconnections. Way back in 1983 when CLANN went to tender for an integrated computer system we made a necessary requirement that the system should be "capable of interfacing online, when standard communication and message protocols are established for linking bibliographic systems with any other online system."[1]

The challenge for this paper was to analyse what is particularly Australian about perceptions of OSI and its potential for libraries. After all, OSI developments in the library world at least have mainly taken place elsewhere in North America and Europe. However, the history of library automation is sufficiently different to provide a particularly Australian perspective to the world debate on something that promises profound changes to the way we operate as library and information service providers.

I do not intend providing a description of OSI. Suffice to say that OSI stands for Open System Interconnection which constitutes an internationally accepted template for computer communications. These communications are true interconnections. As Cathro has said interconnection "does not mean simply that two systems have been connected by a communications link, or that it is possible to search the system from terminals which form part of another systems. Interconnection implies a genuine interworking of specific applications (eg. inter-library loan control) which each system has implemented independently."[2] Open system Interconnection is about computer to computer links which are independent of the type of hardware or software used. It is the opposite of costly customised vendor specific one-to-one links. Open System Interconnection involves the sharing of control where each component is treated as equal in what the body responsible for OSI, the International Standards Organisation, calls "peer to peer" relationships. At the technical level, there are no master slave relationships. Although there may be computer installations within an OSI environment that provide unique services, there is no sense of a hierarchy or central control. In all of this I am talking at the system or technical level, there will always undoubtedly be political or commercial factors which define access — but OSI does not concern itself with this area.

OSI and libraries in Australia

In the library world there are a number of initiatives underway which aim to bring about systems linking using the OSI Model. Previous speakers would have talked about these.

Australia cannot point to any actual developments at this stage but we have taken an important first step and that is to set up a forum for exchanging information on open system interconnection.

In late 1986, the National library established the Working Group on Library Systems Interconnection.

The terms of reference of this group, which has now met four times, are to study and to share information about appropriate international, national and industry standards, and draft standards, which provide for the interconnection of international, national, regional and local library systems, to advise the National Library, the Australian library community and organisations which supply services to this community, on those standards and to encourage the use of the recommended standards by the library community and related organisations. The participants include literary and library network personnel and library system vendor representatives including sales people, system engineers and software people. Just as with the layers of OSI itself there are many layers of knowledge and interest in the group. As a result much of the focus has been on developing some common knowledge base. For example, system suppliers are learning just what is "cataloguing" "inter-library lending," MARC records etc and library people such as myself are learning about the seven layers of OSI and other mysteries.

Most of the meetings have consisted of presentations by various hardware and system software vendors. These have ranged in emphasis from those who actively promote the development of OSI to those who seem a little more reluctant in their enthusiasm but nevertheless are keen to show that they support the development.

The group reviewed its activities in early 1988 and agreed that a focus was needed, a real project, something that could produce tangible results. As a result it was decided to set up a subcommittee to investigate the feasibility of an OSI based inter-library loan system for Australia. The specific focus will be on developing a strategy for establishing an interface between the forthcoming Inter-Library Loan Subsystem of the Australian Bibliographic Network (ABN) and available electronic mail systems. This interface will require some local development, which, it is hoped could be carried out as a a joint government, industry project.

One of the difficulties experienced in discussing OSI with many system vendors in Australia is that they say they would put the development effort into OSI, if their library customers required it. They say that they are not being pushed in this area. This is interesting in the light of the history of library automation developments in Australia to date.

Library automation in Australia

In just the last ten years there has been a most rapid unfolding of automation possibilities for libraries generally and in Australia in particular.

In Australia today there are four main scenarios for medium to larger size libraries:

1. Individual libraries with their own local system carrying out all activities locally, including cataloguing.
2. Individual libraries with their own local system but carrying out some or all of their cataloguing through ABN.
3. Groups of libraries sharing in the use of an integrated local system but carrying out some or all of their cataloguing through ABN.
4. Groups of libraries sharing in the use of an integrated local system for all functions, including cataloguing. CLANN is an example of the latter where over 60 libraries sharing the one system catalogue close to 300,000 items and issue over 2 million loans per year as a group.

It is this latter category that is increasing in importance. Any perusal of the library literature shows that this is a growing trend world-wide. In Australia, the tertiary educational library sector in particular is moving in this direction as a result of national higher educational policy and funding requirements.

Cathro in a recent paper says that with the advent of local systems becoming commonplace "the idea of linking them together naturally followed."[3] I would argue that in Australia this idea has not naturally followed in any real sense. The ideas of OSI have not as yet captured the imagination of the library community. The reasons for this have much to do with the history of library automation as I have outlined it. I will further explore this in relation to the various library applications in which OSI could be used.

OSI in cataloguing

Most cataloguing operations involve the re-use of bibliographic records from external sources. The use of an open system approach would allow the exchange of authority and bibliographic records between any system with an OSI capability whether that be a local integrated system or a cataloguing operation such as ABN. This is the purpose of phase 1 of the Linked System Project in North America. Already participants in that project are sending one another bibliographic data using protocols which follow the OSI model. The potential for this in Australia has been somewhat obscured to date.

It is probably the case that most of the libraries in which catalogue on ABN are meeting a major part of their copy cataloguing needs through that utility. However, there are many major databases that are not part of ABN.

For instance there is the national school library database, ASCIS. There are also the databases of the various local and network integrated systems. For example, CLANN and both the University and the State Library of Queensland. Finally some MARC files of ABN participants, particularly in areas such as music are also maintained on local systems and not replicated on ABN. Surely there would be tremendous value in ABN participants and other libraries in gaining access to these databases. This could be done by ABN accepting the data for addition to the one centrally located national database. Alternatively, such access could be achieved by seeing the national database as constituting these different databases linked in an open system manner. On the face of it, the former approach may seem easier to achieve. However, loading such databases to the one already existing database raises questions of network standards and problems with keeping the data updated and questions of ongoing storage costs. The second approach, which is the OSI approach does not encounter these problems. The problems here are the costs of initial systems developments and communication costs. However, how significant would these communications costs be when we are talking about infrequent use or a small percentage of a library's copy cataloguing requirements. Each record constituting this small percentage, however, could represent an important cost saving in terms of cataloguing essential items in that library's collection.

The other side of the coin are those systems that do not catalogue through ABN and therefore do not at present have an outside source of online copy cataloguing data. No doubt some individual libraries with integrated systems would wish to come in from the cold as it were, and exchange data without being part of a central bibliographic system, a facility that OSI would provide.

Libraries in shared local systems such as CLANN are used to re-using one another's data and conforming to network standards and CLANN would very much like to exchange bibliographic data with ABN, with other networks and with local systems.

As I outlined above, the trend in library automation is for more and more libraries to share in the purchase and use of one automated system. This will mean a rapid and significant increase in the number of large regional databases, major percentages of which will not be in the one central national database. I do not believe that the implications of this development have been fully explored in the OSI discussions to date.

At the international level, in Australia's near region Asia and the Pacific, bibliographic databases are being developed apace and the potential for exchanging data needs to be explored. OSI offers the option of libraries and networks in Australia having the system to system links with such databases.

What is required is a national and international survey of bibliographic databases, what they contain and whether their creators and owners would be prepared to enter into exchange agreements with other such databases. This may bring home to all of us just what riches there are available, particularly in the audio-visual area, in music, in maps, in science and technology, local and national history, authorities etc. etc.

Inter-Library Losns

The pattern of inter-library lending in Australia is widely distributed throughout the country. Similarly, location information is widely distributed. There is no one principal source. In addition, just as more databases in machine readable form are developing at a rapid rate around the nation for cataloguing information, so too is the holdings information necessary for inter-library loans.

So, once again the question is should these locations be loaded into the one central database or should the emphasis be on getting them into machine readable form on their local library or network systems accessible through open systems interconnections? Given that some of these local library or network systems have in excess of 1 million holdings (CLANN has over 2 million holdings), is it reasonable to suggest that one database should replicate these holdings? Part of this debate concerns plans for the inter-library loan module of the WLN software which is soon to be implemented to ABN. The work of the Working Group on Systems Interconnection could play an important role in advising on how this implementation could enhance the possibilities of accessing the widest possible range of holdings. By concentrating on inter-library lending, the Working Group believes that it will be able to demonstrate the virtues of an open system approach to the widest possible range of libraries.

Acquisitions

The automation of acquisitions processes has been slow in coming in Australia. For example, in New South Wales, of the 23 or so tertiary education libraries, 23 have online cataloguing, 20 have online circulation and 2 have automated acquisitions. Acquisitions could be described as having been the Cinderella of library automation in Australia. When automation in this area does take off, the potential for OSI applications will become apparent.

Acquisitions, of all library operations, needs to interface with more and varied external systems than any other. Having an automated acquisitions system does not bring about many improved efficiencies unless these interfaces, or most of them, can be established, and established on an online basis. In Australia, the LYNX trade database gave some libraries a taste of the benefits of having instant online access to current ordering information. This service is no longer available and neither is Booknet, the other short lived venture into bringing together different book trade databases. The costs of storing this data and updating it were just too high at the

time, especially when little else of the acquisitions packages of which the book supplier database was a part, were used. With the loss of these online services, Australian libraries have begun looking at CD-ROM alternatives, but these could never match the up to dateness of the LYNX and Booknet services.

However, more and more suppliers now have their data in machine readable form. All, of course, on different computer systems. As more libraries automate their acquisitions processes, the need for effective interfaces will become apparent. In Australia, the need for access to current book supplier information and the need for electronic ordering is exacerbated by distance from overseas suppliers. Whilst the communications costs of open systems interconnection may seem to be a barrier to online access, recent developments are for suppliers to offer free communications regardless of distance. It is in the area of acquisitions that I would see a developing urgency for an open systems approach.

Where to now

In order to get things moving in Australia we have to see the worth of OSI and put pressure on the system vendors to invest development funds in this area. This has not been happening. Very few library RFP's for integrated systems state a requirement for demonstrable open systems interconnection. Where a requirement for systems interfacing is specified, it seems to have more of a desirable quality rather than a mandatory one. Hopefully, the project on inter-library lending initiated by the Working Group on Interconnections will yield tangible results that have widespread application.

CLANN has an OSI capability with its Geac system. CLANN also has a perceived need to gain access to data for cataloguing purposes and to provide access to its data. In 1989, CLANN will be implementing automated acquisitions for the entire network. At least a dozen major libraries will be making use of the online acquisitions function. The need to interface with book suppliers and the finance sections of library parent institutions in a more immediate mode than printed or tape output, will move from the abstract to the real, from the wish list to the essential. CLANN will begin development of the OSI features of its system in late 1988 and will be looking for other systems with which to communicate. If it is necessary to look internationally to do so, CLANN will not be impeded by what we in Australia have tended to accept as the "tyranny of distance".

Conclusion

In conclusion, I see that automation projects and databases are proliferating at such a rapid rate within the library sector and thought must be given to how best to spend the limited resources available to maximise access. I believe that an open systems approach offers the most realistic option for library system and database development within Australia. I believe that it also offers exciting and innovative possibilities for linking Australian libraries with the rest of our region of Asia/Pacific and to the rest of the world.

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30-INF-3-E

OSI AND DISTRIBUTED APPLICATIONS

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ABSTRACT

There are numerous advantages to a system which supports a number of related functions in a manner that permits information to be exchanged among functions, which permits those functions to be performed at a single workstation and which maintains a non-redundant data base. Such a system can be achieved as a result of conscious design at the outset — a monolithic, integrated system — or by interconnecting several single-function systems — a distributed, integrated system. The latter approach yields a more flexible, higher performance system. However, to become practical it requires that a broad range of standards to ensure interoperability must be developed and widely adopted. It is in the interests of both libraries and system vendors to do this.

Introduction

Automated systems have become indispensable to many organizations — libraries are no exception. Most of the functions that can be readily automated have been automated and the products of these efforts are generally mature and reliable. Further improvements in the functional capabilities of individual systems promise to yield only relatively small operational benefits. On the other hand, the interfaces among disparate systems are sources of considerable, and obvious, inefficiencies.

Considerable advantage could be achieved if related functions were supported by an integrated system. There are two principal means for achieving this: (1) acquiring a comprehensive system that supports related functions, or (2) interconnecting independent systems which perform different functions. The former approach — a single, physically integrated system — while superficially attractive, has serious drawbacks. The latter approach, while more difficult to achieve, yields better performance, allows greater freedom in determining the configuration of services the system supports, and permits greater flexibility in choosing a strategy for upgrading the system when that becomes necessary.

For distributed integrated systems to be practical, the standards to interconnect their individual components must be developed and widely adopted. The International Standards Organization (ISO) has established a framework for developing standards for intersystem communication — The Open Systems Interconnection (OSI) Reference model.

Advantages of integrated systems

There are numerous advantages to be gained from integrated systems: They permit related functions to be performed in a continuous manner, eliminating or reducing the need for mechanisms to control the flow of work and to monitor its status. They reduce redundant data transcription, the effort needed to edit, revise and correct input errors, and the effort needed to resolve problems that result from undetected errors. Systems, which feature uniform user interface protocols, reduce the effort needed to train and retrain people to perform different, related activities. Finally, the ready availability from a single workstation of information about a total process contributes to the delivery of better service.

Definition of integrated systems

Several independent activities may be said to be integrated if they share one or more of the following relatively independent attributes:

1 Common computing environment

A collection of software is sometimes characterized as an integrated system if it can all be run on the same computing device. This, is the weakest and least useful definition of system integration.

2 Common protocols

Programs which perform independent, related functions; which employ similar command structures; and which process data encoded in a common format constitute an integrated system, even if each operates on a different computing device. This is perhaps the simplest, meaningful form of system integration.

Such software possesses one of the essential attributes of an integrated system: the ability to transfer information automatically among related functions.

3 Common workstation

A system which permits a variety of functions to be performed at a single workstation, regardless whether they are executed in a common computing environment or even whether they possess similar command protocols may quite legitimately be characterized as an integrated system, since it permits related functions to be carried out without interruption from a single location. When the systems accessed from a common workstation lack facilities to exchange machine readable information, the human operators who decide what to do next on the basis of the outcomes of previous actions, and who transfer information among various functions — albeit possibly by rekeying — serve as the integrating elements. Such a system introduces another essential characteristic of an integrated system.

4 Common data base

A collection of programs which operate on data maintained in a common data base must by any reasonable definition be considered an integrated system. Such a system permits the product of actions taken in the course of different activities to be recorded in a single, nonredundant information store. Thus, anyone performing any of the functions supported by the data base has knowledge of the consequences of related activities also supported by the system. Such a system eliminates the need for special routines to synchronize or coordinate related information. However, it poses the most complex data structure and design requirements.

This is a third important attribute of an integrated system: the ability to record and maintain information concerning a total activity in a nonredundant, coordinated manner.

Monolithic and distributed systems

An ideal integrated system would possess all of the foregoing attributes. However, this definition might prove too restrictive. It could so severely restrict one's choices that it would be extremely difficult, if not impossible, to find any system that matches even moderately well any organization's requirements.

In order to extricate ourselves from this difficulty, it is necessary to relax our definition of an integrated system. The most restrictive requirement is that all of a system's functions be supported by a common computing environment. If we drop this, we substantially expand the range of systems whose functional characteristics might match a given set of requirements.

Let us define an integrated system which relies on a common computing and software environment as a monolithic, integrated system, and a system which employs interconnected computing devices, each of which may be dedicated to a specific function, or class of functions, as a distributed, integrated system.

Monolithic, integrated systems are difficult and costly to develop and maintain. One must have a relatively complete idea at the outset of what the final system is to include. If new functions are added in an ad hoc manner to a developing integrated system, it is likely that its underlying structure will be compromised and its performance and maintainability adversely affected.

As the number of functions a system supports increases so does its internal complexity. As a result, it becomes increasingly difficult to modify. Each modification has a high likelihood of interfering with some aspect of the existing system. The same is true of attempts to correct problems in an existing system.

Monolithic systems 'lock libraries in' to particular vendors. Steve Silberstein, formerly a systems librarian at the University of California at Berkely, and now a successful turnkey systems vendor, argues in an article published in a 1984 issue of the Journal of Academic Librarianship, that libraries which seek to acquire a complete integrated system from a single source actually discourage vendors from allocating resources to improving product performance or to after-sale service. He suggests that,

> "... The vendor who has just developed one module must now shift resources to develop the new modules that this integrated system requires. This removes resources from the area of customer service.... (S)ince the library has committed to that vendor for those future modules, the vendor need do nothing more to 'keep' the customer — the library has firmly locked itself in with that vendor no matter how poor the vendor's performance."[1]

Silberstein goes on to say,

> "Indeed, looking at the requests that libraries are making of vendors, it appears that the most important thing that is wanted is a very fancy 'Integrated System' ... — the all purpose, all-knowing, definitive system of the future that will solve every problem known. It appears that getting this system from one vendor is more important than having any one module work well or reliably. This is true despite the fact that even after all these years, not one major vendor has been able to deliver an integrated system of any kind."[2]

— And, they probably never will!!

A satisfactory monolithic system may be logically impossible. New functions can always be added to a system regardless of the number of functions it already supports. For example, vendors have recently begun adding a variety of nonbibliographic — albeit useful — functions such as word processing and electronic mail to their 'integrated systems.' Such functions were hardly contemplated only a short time ago. Thus, regardless of the progress made in developing monolithic, integrated systems, it will always be necessary to join them with others to provide the full range of functions librarians will want.

A distributed system is a technically sophisticated alternative to a monolithic system. However, such an approach may exchange one set of difficulties for another unless we solve the problem of creating and maintaining interfaces among disparate systems.

This problem is formidable, however, it can be made manageable if the developers of individual systems could be encouraged to conform with generally accepted interface standards. Finding a solution to this problem will increase in importance as libraries become increasingly dependent on automated systems. The time to do something about this problem is now, before inflexible, proprietary solutions become so firmly entrenched that like an overgrown forest they will choke off the possibility that more effective alternatives can take root and flourish.

Standards needed

A broad range of standards is needed to ensure the complete interoperability of individual system components. Nonetheless, considerable utility can be achieved with some relatively simple measures. Two of the three essential attributes of an integrated system — the ability to perform several related functions at a single workstation and the ability to transfer information among different functions, or systems — can in large measure be achieved with little more than the ability to pass keyboard input and screen output transparently from one system to another.

If these capabilities were implemented, and their efficacy demonstrated, then, several important benefits would follow: much of the functional capability of a fully integrated system would be available; objective evidence of the advantages to be gained by pursuing further development, and implementation, of interconnection standards would be provided; experience, including empirical, performance data, that could be used in the further development of interconnection standards would be developed; and a tangible presence for OSI-based protocols would be created, permitting them an opportunity to be established before propriety protocols become de facto standards.

Thus, it behooves us to identify, support and pursue demonstration projects which permit one system to be accessed in a transparent manner from another. Developing or identifying the necessary standards, and influencing vendors and independent system developers to adopt them will clearly be a major undertaking. However, the potential benefits warrant the effort.

Conclusion

In conclusion, if librarians are to take advantage of the synergistic benefits that result from system integration, and if we are to achieve the benefits inherent in open systems interconnection, we must be prepared to act vigorously to promote and accelerate the development of the standards needed to accomplish this. Such a program will not be enthusiastically received by everyone. Some vendors will actively oppose it, as it entails additional costs for some of them, and for others a perceived loss of competitive advantage. This, however, is a short-sighted view, as such developments will benefit both libraries and vendors. For libraries, it will mean a wider choice of systems well-adapted to their particular requirements and improved system performance. For vendors, it will mean expanded markets and easier sales of an increased variety of specialized products and more frequent incremental upgrades of existing systems.

Thus, standards for open system interconnection can help to expand the pie so that both libraries and vendors can benefit.

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012-STAT-1-E

STATISTICAL DATA-GATHERING IN AUSTRALIAN LIBRARIES A RESUME

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Statistics are needed about libraries in order to measure their effectiveness and to facilitate research. Australian librarianship has been marked by a willingness to collect and share statistical data both nationally and regionally. It is thus possible for Australian libraries to respond to recently introduced statutory requirements

to report measures of library performance, even if the selection and interpretation of performance measures remain controversial.

The authors will describe briefly the principal Australian national and regional statistical compilations, identifying gaps and problems, and refer to recent work in the development of library performance measures. They will also describe recent attempts to collect reliable and consistent library statistics for research purposes, most notably in the area of document supply.

Introduction

Collecting library statistics at once enlivens the mind and deadens the heart. Modern economic constraints each day further distort our natural curiosity into formal reporting of measures of our performance in managing services whose benefit it is hard to demonstrate conclusively in financial terms. The topic is a hard one. This paper will attempt no more than to set a description of recent Australian data-gathering activities against consideration of some of the theoretical problems involved.

The purposeful monitoring of library activity is a vital support to the management process. Line[1] has argued persuasively for the collection of library statistics, while carefully warning against indiscriminate indulgence in the habit.[2] However, valuable dabases have been created in several countries, and at the international level. Australia too, it will be shown, has made its own contribution.

The motives for collecting library statistics nationally might be regarded as lying along a continuum. At one extreme there is the fundamental, possibly ambitious, objective of attempting to contribute to the development of a theoretical basis for librarianship; although this, despite much useful and thought-provoking work, still seems elusive, it is still a worthwhile objective, but not one which primarily concerns us here. At the other extreme there is the second, more practical, aim of enabling library managers to compare the effectiveness of their decisions by means of benchmark comparisons between libraries.

The combination of forces which drives any particular data-gathering exercise will vary according to the circumstances then prevailing. The older Australian statistical databases described below began voluntarily, even though extensive (often unreported) use is made of them by libraries, their parent institutions, and even governments. On the other hand, the statutory reports are, like their companion reports in other countries, compulsory. The first group might be regarded as lying close to the practical end of the spectrum, while the compulsory reports described below probably lie further towards the middle of the continuum. It is likely that the further one moves towards the middle of the continuum, the closer one comes to the use of the data in practical planning.

While few would try to argue that management decisions ought to be data-free, all of us become uncomfortable when inter-institutional comparisons are used for planning by our masters. While much informative research has been conducted using statistical data, there is the lurking fear that the indicators which spring most readily to the mind of the non-librarian do not tell the whole story as library managers perceive it.

This paper will not enter the argument of which are the most useful indicators, but will draw upon the Australian experience in discussing the nature of the data which has become available. First we shall describe extant Australian data sources, in chronological order, and then consider some of the theoretical relationships between gathering statistics and measuring performance.

State and Public Library Statistics

Tables of State and public library statistics have been published by the Australian Advisory Council on Bibliographical Services (AACOBS)[3] as successors to those originally published in the report of the Commonwealth Committee of Inquiry into Public Libraries (the Horton Committee) of 1976 (relating to 1974–75, and previous years). Since then they have included statistics of revenue and bookstock for Australian Municipal Libraries and State Libraries. AACOBS intended to publish these annually in DIALS (Developments in Australian Library Services) but they are now published as a supplement to the AACOBS Newsletter. The data is collected annually by the State Library Service of Western Australia on behalf of AACOBS; the most recent figures available to the Committee are for 1985–86.

2nd AACOBS Census

In 1978 a Task Force on Library Statistics was established by the Standing Committee of AACOBS) to undertake a census of library services. Although incomplete, these statistics were the first national summary of Australian library services. The purpose for this data collection was to assist long term policy formation and planning, and national and international comparisons.

The census measured (for the year 1979) the size of library collections, number of staff employed, amount of money spent on library collections and staff, and some very basic data on loans. All libraries with organized collections of materials exceeding 2,000 volumes, and with one or more professional staff, were surveyed.

The problems in collecting data stemmed principally from the decentralised organisation of libraries in Australia, and the lack of generally recognized standards of data definition. Response rates varied between categories of library; this ranged from 100% response from the National/State Libraries, to roughly 20% response from the school libraries. This latter sector was finally deleted from the results of the census because of such poor returns.

In August 1981 AACOBS resolved[4] that a library census should be carried out on a triennial basis. The second census would cover the period 1981/82.

The first census and the difficulties encountered were analyzed by the Task Force convened by AACOBS to undertake the second census, and in June 1982 a pilot survey was undertaken to determine uniform procedures and an appropriate format for questions. Because of the poor response to the first census from some sectors it was decided to use a decentralized approach for the second census. Each State or Territory AACOBS Committee was responsible for selecting libraries, distributing the questionnaires and chasing up the responses. Although this approach had the advantage of increasing response rates it presented problems relating to uniformity of approach. Again, because of lack of cooperation school libraries were excluded from the results.

Results[5] of this census were made available in 1984 together with a report[6] on the problems encountered by the Task Force in completing the statistical survey and recommendations made to AACOBS for future statistics gathering exercises.

ACLIS Project

In early 1986 the Australian Library and Information Council (ALIC) resolved to form a Committee on Library and Information Services Statistics for Australia. The Committee was charged to examine the recommendations that had been stated in the final report of the second census and to gain a clear understanding of the current state of statistical collection within the nation.

Although further consideration had been given to the objectives of a census of library resources, no census had been carried out since the second census of 1981/82. This Committee investigated the cost effectiveness of AACOBS continuing its work on national statistics gathering and concluded that if another census was to be undertaken and if it was to take into account the recommendations made after the second census, then massive financial resources would need to be guaranteed. The Committee also concluded that a more satisfactory response rate may be forthcoming if statistical collection was placed in the hands of national or State bodies and interest groups representing each library type.

With the report of the Committee on Library and Information Services Statistics for Australia in mind the State Library Service of Western Australia has undertaken to coordinate the collection of statistics for the State/Territory library authorities and the public libraries to ensure that they are both comparable and compatible.

Statistics for the State/Territory library services can be found in their annual reports, usually within an appendix, but sometimes, less satisfactorily scattered through the text of the report. The data is by no means uniform across States; some of the base definitions of data vary considerably.

All of the mainland States publish detailed statistical bulletins accounting for public library stocks and activity. As with the statistics on State/Territory library activity the problem that faces the investigator into public library statistics on a national basis is compatibility of data. All the State/Territory and public library services are making an effort to gather statistical data, but they appear to be motivated by the need to have statistics for internal reporting, and tend to forget the need to make their statistics as uniform as possible throughout the country, thus ensuring national compatibility.

In May of this year the Research Officer of the State Library Service visited each State/Territory library to discuss the possibility of coordinating statistical data.

FAAA AND Performance Indicators

The Financial Administration and Audit Act 1985 (FAAA)[7] of the State of Western Australia is among the first legislation of a parliamentary democracy to require the Ministers of Government to report annually to Parliament, through the use of performance indicators, their performance with respect to the efficient and effective

financial administration of the services for which they are responsible.

The Western Australian Parliament requires that government departments establish ways for measuring the performance of operations, so that they may provide assurance to Parliament that they are achieving their planned results with the monies that they receive. Organizations must establish ways for routinely measuring the on-going performance of operations in terms of effectiveness of delivery of programs to achieve objectives and the efficiency with which they are being administered? Performance Auditing" has been developed to assess whether public funds have been collected or spent with due regard to "value for money."

The objectives of the organization are first developed via the "Corporate Plan." This plan must identify the organization's objectives, the means of achieving them and the resources required to get there.

The performance measurement system provides routine measurement of the performance of the operations designed to meet the objectives of the Corporate Plan. The effective delivery of the programs is monitored with the use of three distinct type of indicators:

1. WORKLOAD INDICATORS: Output orientated; measure the amount of work done.
2. EFFICIENCY INDICATORS: Compare resources input against resulting outputs; emphasise the utilisation of resources for maximization of outputs with minimisation of inputs.
3. EFFECTIVENESS INDICATORS: Measure the extent to which programs achieve objectives; these objectives are stated in the Corporate Plan.

The State Library Service of Western Australia developed its set of performance indicators in early 1987, using a draft version of its Corporate Plan as a source of the objectives to which the service aimed.

From these objectives were developed six "broad strategies," and from the strategies key activities were identified and workload indicators derived. The workload indicators amount to relatively straightforward categories of activity that can be measured through the program of statistics that is already being gathered on a monthly basis within the Library Service.

The efficiency indicators are ratios of the amount of staff engaged in the activity (input) to the workload indicator (output). The effectiveness indicator requires the comparison of the current efficiency indicator to a standard. These standards will be developed over several years of activity so that realistic levels of performance may be set.

ANZALDATA

Leong[8] consolidates the annual collection of statistics for Australian university libraries from 1953 (which included New Zealand universities from 1974) and Australian College libraries from 1969. This data now provides information across a range of indicators for one of the major sectors of Australian library. The definitions of the indicators have been carefully worked out over many years, and thus it is possible to perform reasonably consistent analyses over quite lengthy periods of time. As the Australian tertiary system grew rapidly during the 1970's, this provides access to a historically interesting period. Leong reports that the number of indicators rose from 12 (in 1953) to 79 in 1986. They include a typical range of input and output measures.

The data is collected annually by circulation of a questionnaire, and subsequent publication of the data in Australian Academic and Research Libraries. The data collection system includes many data validation routines to ensure the highest possible accuracy. The database exists in machine-readable form (from 1969 onwards); Brockman[9] demonstrates its capacity to support complex analysis.

Other data sources

There are several other sources of data about Australian libraries. Many libraries and groups of library collect and publish data about their activities. Sometimes this is published in tabular form, sometimes it is incorporated into the annual report of the library its parent institution.

Beyond the data reported by individual libraries there is also the body of Australian library research, some of which consists of data collected across the whole country. The AACOBS Censuses have already been mentioned. Other surveys have been conducted for specific purposes, such as the Manpower study[10] and the Survey of Australian Inter-Library Lending.[11] There are also the numerous more specialised studies which will have been reported to the National Library of Australia's index of library research, and reviewed in (amongst other places) the AACOBS Working Party on R & D's Annual Review of Australian library research.

These sources of quantitative data are complemented by the types of qualitative data which will be familiar to librarians in other countries. For several years now the annual reports of Universities and Colleges have been reviewed annually in Australian Academic and Research Libraries, providing an interesting commentary on developments within that group of libraries. There are also periodic reviews of specific areas of library activity such as library buildings by Dunstan[12] and online information retrieval in academic libraries by Wood[13] and then by Henty.[14] The Australian university libraries (through their association CAUL) also collect for their own consumption a wide variety of data.

Supplementary to this quantitative data there are more amorphous groups of sources of qualitative data. Reference to this is included here because it is believed that this formal and descriptive data is complementary to interpretation of the quantitative data. Fielding,[15] for example, provides for university libraries a standardised description of their organisation and structure; this is being updated and extended by Allen.[16]

Other aspects and examples of accountability

As a by-product of the recent espousal of corporate planning by different governments and institutions, a number of libraries have come under review. Steele[17,18] presents a characteristically insightful and tactful review of several. They are highly evaluative, although they often contain not only statistical data about the library under review, but also comparative data apparently derived from some of the sources mentioned above. It is clear that the process of review can be very uncomfortable for those under review, partly Steele suggests because of the (possibly groundless) suspicions about the hidden agendas believed to lurk beneath the review panel brief, but more generally because the librarians believe that numbers do not tell the whole story about their operations.

The broad requirements of statutory obligations such as FAAA, and the specific requirements of corporate planning, both challenge the information professions to identify the indicators of success. This is a hard challenge to which to rise, but one from which it is also hard to escape. In Australia, while the State library in Western Australia is responding to FAAA, Australian academic librarians are likely to be subjected, as a result of the recent Green Paper[19] on higher education, to performance measures in much the same way as their colleagues in UK. It was with interest that we noticed in the recent UK literature a shift from the term "performance measures" to "service indicators".[20] It will be interesting to see if changing the label makes the medicine more palatable.

Theoretical relationships between gathering statistics and measuring performance.

The difficulty in the way of accepting the requirement to report measures of performance is not the fear on the part of a callow manager of apparently failing to perform adequately, but real difficulties in identifying true indicators of performance. This paper argues that the fundamental measure must be user satisfaction.

This is not the place in which to rehearse the problems facing those who attempt to measure it. Line,[21] Roberts,[22] Wilson,[23] Belkin,[24] and Pratt[25] have each approached from different angles the concepts of "use(r)(s)," "need(s)," "want(s)," "demand(s)" and "inform(ation)," and at least one journal[26] has been devoted to the methodological problems posed by them. Suffice it to say that the essential problem lies in describing precisely what users are doing when they seek information, so that information services can be designed to deliver information most cost-effectively to the point of need. The gap between this ideal and the reality is the concern of good performance measurement.

In studying this area we have to consider very carefully:

1. the indicators
2. their definition
3. the methods by which data is to be collected
4. the techniques by which such data might be manipulated in order to measure performance
5. the decision-making process (and the knowledge-base of the decision-makers) into which these measures are to be inserted.

There is argument as to what should be included in (1). Kantor[27] has apparently successfully introduced into the ARL statistics, which in many respects are similar to the Australian ANZALDATA, measures of user behaviour. This work is being examined with interest by the managers of the ANZALDATA files. An interesting sidelight on the question of definition, is the perennial problem of defining what is a library. In Australia, which lacks a single directory of libraries, the researcher is left to battle through the varying definitions of compilers of numerous, quite different directories. These not only confuse the picture by including organisations which are

patently not libraries, but also do not consistently account for the relationship between components of a single system.

While work is proceeding on various fronts in (2) and (3), it is interesting that there is increasing Australian interest in (4). Mitchell,[28] for example, has considered the use of regression techniques rather than the use of ratios for performance measures in Victorian Public Libraries.

However, perhaps the greatest challenge facing the profession is (5), since it strikes at:

the very heart of the definition of what it is that makes us a profession

the educational process that is intended to deliver this product, and

the concept of our retaining (as a profession) control over the destinies of our operations.

The changes in name of the UK and Australian associations of librarians, and the convergence of libraries, computing and media centres, particularly in USA, are all indications of great changes occurring in what librarians expect to do, and what is expected of librarians. These changes make it harder to define precisely what are useful measures of performance, yet they occur at a time of increasing accountability, and, quite independently, reduced funding for library research.

Conclusions

It was not the purpose of this paper to attempt to prescribe what, if anything, should be done about library statistics. However, it was intended, by describing some Australian activities, to suggest some of the problems which might spark debate among experts in library statistics, such as:

1. Is standardised collection of data a self-sufficient basis for managerial decision-making; should less quantifiable factors be given equal status?
2. Do the classic indicators of performance distort our understanding of the operation of library systems?
3. Is it useful to compare quantifiable activities across widely different sectors of library?
4. What levels of sophistication of statistical analysis are most likely to give more accurate understanding of the nature of library operations?
5. Would the profession be better served by mere digestion by funders of the reported data as evidence of activity, or by analysis of it leading to the requirement to change?
6. What is the nature of the role of the library school educator in preparing librarians for the statistical problems they are facing?

Perhaps this group may like to take up these issues.

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013-STAT-2-E

PERFORMANCE MEASUREMENT: PRINCIPLES AND PRACTICE

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ABSTRACT

The performance of a library must be measured for two kinds of reason: political, to justify the budget, and managerial, to assess progress towards defined targets. Measurement has no meaning unless the library has an agreed set of objectives, or a mission statement which allows targets to be set. A plan of activities can then be made, and the performance measures themselves become self-evident.

There is more than one kind of measure: the most difficult are those which deal with abstract concepts in the library's objectives. Many people measure only those activities which are easy to measure, but the results of this can be misleading; libraries need to have a range of measures to illustrate the wide range of activities which they undertake.

The paper will include examples of different kinds of measure and practical methods of measurement.

1. Introduction

It is necessary to measure the performance of libraries first, because a library almost always gets its funds from outside sources; second, because many activities can take place in libraries and resources have to be allocated to reflect priorities; third, because there may be several ways of doing the same job in a library. Libraries are economic organisations in which resources have to be allocated in order to maximize the benefits derived from the activities of the organisation. This simple statement hides a number of logical steps which can be expressed as a series of questions:

1. What is the library for?
2. How should resources be allocated to help the library achieve its purpose?
3. How well is the library achieving its purpose?
4. How can we measure how well the library is achieving its purpose?
5. What activities help the library to achieve its purpose?

5. How well is the library doing these activities?
7. How can the performance on each activity be measured?

2. The framework for measurement

Richard Orr's analysis of the problems of performance measurement gives the essential framework for judging library performance. Orr[1] has suggested that the two aspects of a library service that need to be judged are its quality and its value. Quality should be measured in terms of the library's capacity for meeting the user needs it is intended to serve; and value must be measured in terms of the beneficial effects derived from its use, as seen by the funders of the service.

Orr also distinguishes between direct measures, and indirect measures which are based on some other criteria which are assumed to be related to one or other of the ultimate criteria. In the absence of any clear knowledge of the links between supply and demand for library services,[2,3] direct measures obtained by observing the actions of users[4] are needed. We can identify a series of indicators of performance: and in any one library these indicators will change with time as the balance of demand, resources and objectives shifts. Orr has suggested a number of criteria for judging indicators of performance:

1. Is it relevant to the problem we are trying to solve?
2. Is it helpful in indicating sources of difficulty and potential solutions to problems?
3. Is it valid — does it measure what it is supposed to measure?
4. Is it reliable or is the procedure for measurement subject to large and uncontrollable errors?
5. Can it be used for comparative purposes — to monitor changes over time within one library, or to compare libraries?
6. Is it practical — in terms of cost, time of librarians and users, possible interference with users' and librarians' activities?

3. Performance measurement in practice

In this section I will consider some possible indicators in the light of the previous discussion, concentrating on two basic aspects of library service: the provision of documents (including books, reports, and individual serial articles in conventional form, microform and electronic media) and the provision of information in the form of answers to direct questions. In practice, one would distinguish different types of user need when measuring performance.[5]

3.1 Provision of documents

3.11 Availability is defined as the proportion of expressed demand for documents that is satisfied in a given time period. In a closed access library, this can be measured continuously, but in an open access library some kind of sample survey will be necessary: during a chosen time period, some or all of the users of the library will be asked to record the identity of all the documents they are looking for, and their success in finding them. We then have:

$$\text{Availability} = \frac{\text{Total number of documents found} \times 100\%}{\text{Total number of documents looked for}}$$

Using this approach various libraries have reported availabilities ranging from about 36% to about 72%.[6] This single indicator, provided that it is associated with some indicator of total demand, could be offered for use at the political level. As a managerial tool, the components of the indicator can be analysed to identify the reasons for the non-availability of documents in demand. This requires the library staff to look for items which the users have reported as unavailable. This technique was first used in a survey at Birmingham University Library in 1964[7] and subsequently elsewhere.

It is uncommon for libraries which have used this technique to repeat it — perhaps for reasons of practicality (see below). This means that there is little evidence on the reliability of the measurement technique itself. The measurement of availability on a single day does not give a reliable estimate of the normal level throughout the year. If policy changes are made, and availability measured again a year or more later, we have no means of telling whether any difference observed in the indicator is related to the policy change or to random variations. Cyclic demand can have a marked effect on one component of the indicator.[8]

How does availability match up to our questions (section 2, above)?

Relevance: it is certainly the kind of indicator that can be used for setting targets; it is not clear that a single measurement is adequate to judge performance.

Helpfulness: the components of the indicator do illustrate sources of difficulty and suggest practical solutions.

Validity: users and funders are likely to be able to understand the indicator and be willing to accept it.

Reliability: the measurement technique is a social survey using self-completed questionnaires. Response rate needs to be at least 65% for us to have any confidence in the results.

Comparability: if measured often enough the indicator can be used to monitor changes with time, and to compare libraries of similar types.

Practicality: on an occasional basis, the technique is comparatively easy to apply and is not too disruptive of users' time. It does require commitment from library staff to identify causes of unavailability at the time of the survey, and provision of sufficient staff resources to do this may disrupt routine activity. Frequently repeated surveys of this type would require careful sampling.

To summarize, Availability has some attractions as an indicator of quality, but in order to be used with confidence the technique needs to be used quite frequently, which raises problems of practicality.

3.12 Document exposure is defined as the amount of time spent by an individual looking at, or listening to, a document (as defined above).

Although first formulated by Hamburg and others,[9] this indicator derives from a suggestion by Meier,[10] that a measure of value might be based on the amount of personal time that users devoted to a service.

Not many people have measured this exposure time. Hamburg and others[9] seem to have asked a sample of public library users about exposure time when they returned books from loan — a retrospective survey which depended on users' memories. The Lancaster Library Research Unit tried a different approach: we gave borrowers a card at the time when they borrowed a book, asking each one to note on the card the time they spent using the book, and to return the card with the book. We tried this method in several different university libraries. Hamburg quotes an average of 2.25 hours per book (but does not indicate whether this is the mean of a normal distribution); we found that the exposure time increased apparently exponentially with the retention time, with a mean time of 2.5 hours approximately.

How does this indicator match our criteria?

Relevance: time is an appropriate measure of value, and the same units can be used in measuring the value of other library services, so that the relative values of different services can be compared.

Helpfulness: analysis of document exposure in relation to the time users keep books on loan could be of assistance in fixing loan periods.

Validity: I suspect that funders might not be impressed with the idea that time is a measure of value: they will need educating.

Reliability: we have insufficient evidence to judge how honest users are in recording document exposure; but the figures reported above suggest that users do not on the whole falsify their records: they are more likely to forget to record times, so that the indicator under-estimates the true value.

Comparability: it should be possible to use this indicator for comparative purposes to show the effects of different policies.

Practicality: the collection of data can be comparatively simple, although it does involve user co-operation, and alertness on the part of library staff when books return from loan.

In summary, Document exposure looks like a good indicator of value, although its validity in the context of library fund allocation has yet to be realised.

3.2 Provision of information

A library's ability to provide information by direct contact between library staff and users (perhaps at an enquiry desk) can be measured by the Question answering success rate. This can be assessed using the technique of unobtrusive testing. In this method, a sample of questions is prepared and these are put anonymously to the library staff. Williams[11] surveyed a number of libraries and reviewed earlier surveys.

Using our criteria for judging measures we find:

Relevance: the indicator gives us a figure for the percentage success rate in answering factual questions, and combines three components: staff knowledge, availability of reference sources and the ability of staff to find correct answers. This is a measure of quality of service.

Helpfulness: in judging the accuracy of the answers it may be possible to identify the source of failures and thus identify areas for improvement.

Validity: if library users get answers to questions that subsequently prove to be wrong, the reputation of the library will suffer, and its service quality will be seen as poor. This is a valid measure.

Reliability: this depends on the way in which the questions are posed, so some control is needed. In each library, sufficient ques-

tions must be posed over a sufficient period to ensure that variations due to timetabling etc are adequately covered.

Comparability: it looks as if this indicator can be used in the usual comparative ways.

Practicality: it looks as if this indicator, if measured in a number of libraries at about the same time, is relatively cheap to administer.

To sum up, the indicator Question answering success rate seems to be a useful indicator of service quality.

4. General indicators of quality and value

Some types of indicator are applicable to more than one aspect of a library service. A general indicator of quality is Timeliness, which we might define as the proportion of demands which are met in time to satisfy the original need. It should be distinguished from Delivery time which is an indirect measure, possibly related to timeliness: components of the delivery time may be subject to alteration through managerial action. A general indicator of value is User satisfaction, defined as the proportion of users whose needs are satisfied by the use of a given service. Both of these indicators can be derived only as a result of questioning users, and I know of few examples of their use in practice. Some aspects of document supply and of information provision have been examined using these two general indicators.[12,13]

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THE USE OF PERFORMANCE MEASURES BY PUBLIC LIBRARIES IN THE UNITED STATES

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ABSTRACT

An overview of the use of performance measures by public libraries in the United States with particular emphasis on their application as management tools and an integral part of the strategic planning process. Special attention is given to the role of the professional library organization and state library agencies, individually and collectively, in the development, adoption, and promotion of use of performance measures by public libraries. A definition of performance measures is presented and an examination made of their use by various service agencies in the profit and non-profit sectors showing a linkage in management practice between public libraries and other service organizations. Performance measures are shown to be effective management tools in determining the success or failure of an agency in meeting its service objectives. Historical background is provided, including traditional public library use of standards as one form of measurement tool. The changing view on the use of standards is presented. The evolving practice of using input and output measures is also addressed with particular attention to recent work by the ALA Public Library Association. A comparison is drawn between the use of performance measures by public and academic libraries with an analysis of commonalities and differences.

The purpose of this paper is to present an overview of the application of performance measures by public libraries in the United States. It will include an examination of the use of performance measurement in strategic plans and as a managerial tool in assessing library services and operations. It will also review the role played by segments the American library community in the development, adoption, and promotion of the use of performance measures by American public libraries. Particular attention will be given to the American Library Association's Public Library Association and to state library agencies both individually and collectively through their national organization, Chief Officers of State Library Agencies (COSLA).

The paper will discuss developments in public library planning over the past twenty years and relate them to the use of performance measurement. This will include the PLA Public Library Development Program and the part it has played in the promotion of the use of measures in evaluating library programs and activities. This section will discuss the change in public library use of nationally adopted standards to one of library role designation measured and evaluated by appropriate local output measures.

It may be best to begin with definitions of terms related to the subject of performance measurement. In a Wilson Library Bulletin article in 1983, Mary Jo Lynch, Director of the ALA Office of Research offered definitions for a number of related terms:[1]

Measurement	— the process of ascertaining the extent or dimension or quantity of something
Performance	— the doing of something, an activity
Evaluation	— the process of determining whether something is what you want it to be
Effective	— something which does well that which it is supposed to do.

Lynch points out the differences in the words by using them in a single sentence. "The results of measurement can be used to evaluate the performance of a library and thereby determine whether or not it is effective." These definitions provide conciseness and clarity to terms which are not always accurately used.

Other definitions or discriptions include: (1) performance measures are any type of measure that assess the efficiency (allocation of resources) or effectiveness (accomplishment of goals and objectives) of the library; (2) performance measures can be defined or determined to be a measure of the library's effectiveness or its impact on the community; and (3) performance measures determine how well the library succeeds in serving the needs and wants of its clientele using available resources.

The definition provided by Mary Jo Lynch will be used with the definition characterizing performance measurement as the assessment of the efficiency and effectiveness of the library in using its resources to accomplish its goals and objectives.

In recent years there has been a significant increase in the number of service institutions in the United States.[2] This development has focused attention on the distinctions between the management of traditional production based organizations and service institutions. There is a growing body of literature dealing with service organizations and their management. One element of these studies is the use of performance measurement in service agencies as opposed to those used in production based companies. Measurement in the traditional production operation is a comparatively easy process involving measurement of tangible items.

As with other service organizations it is difficult to measure library service. Quantitative measures may be relatively simple: the number of items circulated, the number of reference questions asked and answered, the number of children attending a story hour program, etc.; however, this says nothing about the effectiveness of the service provided. Such measurements as the number of book titles or volumes added to the collection or the number of items cataloged do not show the efficiency of the library operation. These traditionally maintained library statistics or measurements

are more suitable to library management based on pre-adopted library standards, rather than the assessment of specific library goals and objectives.

In his 1974 book Management, Peter Drucker states, "Effective service institutions need to impose on themselves a number of disciplines. They need to define measurement of performance. They need to use these measurements to feed back on their efforts, that is, to build self-control for the results into their system. Finally, they need an organized audit of objectives and results, so as to identify those objectives that no longer serve a purpose or have proven unattainable.

In another section he discusses the need to measure yesterdays successes to determine whether they are still effective and still needed. He goes on to state, "To test objectives and their appropriateness, priorities, and above all, results against expectations, is needed most for yesterdays successes."[3]

Through these and other sections of his book Drucker states explicitly or strongly implies the need for measurable performance criteria. The linkage between mission and goals and objectives is emphasized to ensure the understanding of the function of measurement in determining whether the institution is accomplishing its mission and meeting its goals and objectives. Drucker makes clear that the determination of whether a service organization is effective must be based on a well defined statement of mission along with goals and objectives with measurements set to assess accomplishment of objectives or, in other words, the success or failure in accomplishing the mission.

This view is repeated in library management publications. In Decision Making For Library Management, Michael Boomer and Ronald Chorda relate this theme to the practice of library management. "Closely related to library objectives is the need for meaningful measures of performance to assess what the library is attempting to achieve and whether it is successful in achieving it. Without appropriate performance measures it is difficult to determine how well the organization is progressing. These measures are needed to determine whether a particular decision or course of action should be pursued and whether funds are being allocated in the most effective manner."[4]

In still another non-library context David Swartz in his Introduction to Management; Principles, Practices, and Processes states, "Measurement of performance is needed because it tells managers when corrective action is required. Without measurement of performance, managers have no way of answering such key questions as, 'How well are we doing?' and what should we do to improve performance."[5]

These observations highlight the similarity in use of performance measurements by public and private sector institutions. They verify that it is impossible to determine the success or failure of an activity or function, validate the efficiency of an operational strategy, or prove the effectiveness of a program unless a pre-determined standard of attainment is set and a method established to measure the attainment of that standard of accomplishment. This is an essential element of strategic planning.

Performance measures cannot be developed and used until a mission statement has been determined and goals and objectives established to guide the operational activity of the institution. Measures should be related to the goals and objectives. It makes little sense to expend time and effort with a measurement which will have no meaning to the success or failure of the library's mission.

A significant point in the history of public library planning in the use of performance measurement came about in the late 1960's. At this time the American public library community began to react to the established use of nationally adopted standards to guide public libraries in planning. Many felt the published standards, Minimum Standards for Public Library Service adopted by the American Library Association in 1966, did not address the unique needs of individual local communities. The standards were established to meet theoretically determined levels based on size of community without regard to relevant local conditions. It was evident that after thirty years of use of standards it was time for a re-evaluation, and a determination made of whether a new approach should be taken in planning for community library service.

Based on concerns regarding the use of standards and an increasing awareness of the need for planning, ALA's Public Library Association decided to take a new look at how public libraries should plan for service to their communities. By extension this would also address the matter of the measurement of library performance. The re-examination took a substantially different approach to public library planning. It called for the identification and verification of the needs of the individual local community through study of the community, its needs, and its resources. This approach to planning evolved over a period of ten to fifteen years.

Although not central to this paper it may be of interest to mention several publications which show the progress toward the adoption of this planning approach.

From the publication of A Strategy For Public Library Change: Proposed Public Library Goals — Feasibility Study[6] in 1972 and Performance Measures For Public Libraries[7] in 1973 to the completion of Planning and Role Setting for Public Libraries[8] and Output Measures For Public Libraries,[9] both published in 1987, significant change has occurred in how the American public library community viewed the planning process. These publications along with A Planning Process for Public Libraries[10] issued in 1980 and the 1982 publication of Output Measures for Public Libraries (1st ed.)[11] represent the uneven but, nevertheless clearly discernible movement away from the reliance on nationally adopted library standards to a new method of planning which stresses local need, local effort, and local decisions. This evolutionary process is well described in a 1981 article by Mary Jo Lynch entitled The Public Library Association and Public Library Planning.[12] Although the article covers only a portion of the time frame it gives a good account of the reasons for the change and the differences of opinion in the profession on the proper course to follow.

This work culminated in a package called the Public Library Development Program, a combination of specific functions and products put together for public libraries use in planning, measurement, and evaluation. It focuses on how to address the needs of individual communities by providing the means to plan and make decisions locally. Support for this new approach has been widespread including along with PLA, The Chief Officers of State Library Agencies (COSLA) and The Urban Library Council (ULC).

This approach to public library planning caused a necessary re-examination of the methods of public library performance measurement. The planning process, which stresses well-defined roles for the individual public library, with goals and objectives geared to the needs of the community, called for a different approach to performance measurement. As can be noted from the titles listed earlier much attention has been given to measurement including the difference between input and output measures.

This focus on performance measurement recognizes the critical nature of appropriate measurement in effective planning. Just as there has been a significant increase in the interest in public library planning and in the number of public libraries involved in the planning process there has also been a corresponding increase in the interest in planning as a management tool.

Interest in planning and performance measurement has been intensified by other factors. Since the mid-1970's many local governments have been severely restricted in their ability to raise revenues. In some cases there have been actual revenue rollbacks. In this fiscal situation the ability to plan and measure service effectiveness and efficiency becomes very important as a means to verify to both local officials and the electorate the value of services received for funds expended. Competition for tax dollars requires planning, community assessment, and evaluation of services and programs which are necessarily determined by measurable objectives.

State library agencies have been important in promoting public library planning and the use of performance measures. State library agencies have confirmed this role by providing support to and involvement in the development of the Public Library development program. Some state library agencies require the submission of a local library plan to receive state aid. Some states also provide workshops on library planning and performance measurement. A growing number also promote the use of output measures.

The new approach to public library planning has evaluation as a prime element, with a recognition that a key to evaluation is the ability to measure specific activities to determine their effectiveness. In the publication Output Measures For Public Libraries the authors list several purposes for measurement in public libraries:

- Assessing current levels of performance
- Diagnosing problem areas
- Comparing past, current, and desired levels of performance
- Monitoring progress toward the library's mission, goals, and objectives.

They add that the most obvious benefit is the information it provides for planning and evaluation. Although measurement can be done without planning, it is difficult to plan effectively without measurement.

Given the substantial work and attention given to planning over the past two decades and through extension to public library performance measurement, what can be said about the actual use of planning and performance measurement by American libraries?

In 1987/88 the OCLC Office of Library Planning and a OCLC Users Council Committee undertook a study of planning activities

by member libraries. A questionnaire was sent to all member libraries asking whether the library was involved in planning, and if so, to answer specific questions about the planning. They were asked to submit copies of plans if available. The results of the questionnaires were tabulated by library type and the plans submitted were analyzed as to format and content. The results have been published in a monograph published by OCLC.[13] It may be helpful to outline some results of the study as they relate to public libraries.

The public library segment response to the OCLC survey was among the highest of all member segments. Of 551 OCLC public library members, 351 returned completed questionnaires for a 63.7% return rate. Of the 351 returning completed questionnaires 152 (43.3%) reported they have a current library plan and 66 submitted copies.

Following are some general observations about public library planning based on the questionnaires and a review of the plans. Almost 3/4s of the plans were for a five year period. The majority, over 75%, have beginning dates of 1985 or later indicating a high degree of currency. In responding to a question about the frequency of updating; 42.8% said they updated annually, 13.2% every two years, and 19.1% did five year updates.

Nearly half (46.0%) of the libraries reported the decision to plan was that of the library's administration. The next largest group (21.1%) specified the state library agency as the requesting body. Library boards were noted as the initiator in 20.4% of the responses. Combining library administration and board decisions means over 2/3s of the libraries responding took the initiative internally to develop a library plan. This shows a strong awareness by public librarians and board members in the value of planning.

As part of the review, data was gathered on responding libraries from the American Library Directory (ALD) and OCLC's Marketing and User Trend Reports (MUTR). This data was examined to determine whether there were any common features of the libraries which may be relevant to an analysis of the planning process.

The ALD data pointed to the fact that planning occurs more generally among larger public libraries. The OCLC MUTR's data indicates that libraries involved in planning were more active users of various OCLC services. Care should be exercised in drawing any broad conclusions from this data because most OCLC public library members are medium to large; however, it is also true that some small libraries indicated that they had current plans and several submitted copies. As an example, plans were submitted by one library which served a population of 5,900 people and another which served a community of 7,500.

Of most direct significance for the purposes of this paper was the review and analysis of the actual plans. As a general observation plans varied widely in format and in quality. A number were a single sheet of objectives for the year; others were extremely detailed.

Analysis of the plans show that 73% included a mission statement; over 80% had goals and objectives; but only 50% included strategies designed to accomplish objectives. Less than 1/4 of the plans submitted included measures of performance to assess accomplishment of objectives. Of the 66 plans only 15 included some form of performance measurement and a number of these were very general. Other plans had well defined measurements directly related to the objective. These included such things as increasing circulation per capita by a certain amount, increasing the percentage of reference questions answered, and decreasing by a specific number the amount of time it takes to prepare a book to be ready for public use.

Given the extensive effort to acquaint public librarians with the planning process and to promote its use along with measures of performance, the OCLC survey would seem to have both a positive and negative message. The fact that public libraries of all sizes are involved in planning can be viewed as a very positive sign. The response of half of the libraries reporting they have current plans indicates a recognition of the value of planning.

The results are less encouraging when actual plans are examined, particularly those related to the key element of performance measurement. Less than 25% of the libraries submitting plans included any form of measurement to determine the accomplishment of objectives and the success or failure of the plan. From the plans submitted and a review of questionnaires there appears to be a lack of knowledge and understanding about the use of performance measures. This evidence points to a conclusion that, although the American public library leadership has done much to raise the conciousness of public librarians on the importance of planning, much still needs to be done.

It is also evident that much needs to be done to acquaint public librarians with performance measurement and its use as a planning and management tool. Although no effort was made to determine public library use of measurement as a management instrument it seems safe to assume that if only minimal use is made in planning it is unlikely extensive use is made for other purposes.

The need for education and training is important enough to require a joint effort of professional library organizations, library schools, and state library agencies.

The Public Library Association has done much to develop approaches to library planning; increasing the awareness of librarians and trustees in the need for planning, and in the general promotion of planning efforts. PLA should continue these activities and also strive to join with state librarians and library schools to develop ways to provide other avenues for public librarians to learn about planning and the uses of performance measurements.

Library schools should review courses to assure that the subject of planning and measurement are included in appropriate classes. This should include the use of practitioners to assist in classroom discussion. Classes or seminars should be offered as part of the schools continuing education program for librarians in the field. Exploration should be made of possible joint efforts between the library school, the state professional organization, and the state library agency. IFLA too may want to examine this in the context of interlibrary cooperation and national library programs.

State library agencies can play a special role in this educational process because of their unique relationship with public libraries. In many instances the only contact with the profession for local public libraries is the state library agency. Many states are requiring planning as part of the state aid process. Some are offering training in the use of performance measures. Aside from these actions states can assist local libraries in other ways:

1. Conducting workshops and training sessions
2. Providing informational and self-training materials
3. Providing grants for consultant or trainer assistance
4. Facilitating joint efforts with library schools and professional organizations.

CONCLUSION

Performance measurement is an important management tool for use in measuring the effectiveness of library programs and operations. It is an integral element in planning. Measurement is of special importance in service agencies, such as public libraries; because such measurement is the only way to determine the success or failure of specific library programs or to assess whether the library is meeting the needs of the community as spelled out in the mission statement and goals and objectives.

There has been significant progress in the American public library community over the past two decades to develop a new and workable approach to local library planning based on meeting local needs through local decisions. This approach, spearheaded by the Public Library Association, recognizes the key part performance measurement plays in library planning and management. It has resulted in new approaches to both planning and performance measurement.

Based on the results of a recently conducted OCLC survey on library planning it can be said that the efforts have had mixed success. The survey results show substantial interest by public librarians in the planning process; but, they also show a limitation in the knowledge available about planning and its elements. Examination of the plans indicate that training in the planning process and in the measurement of performance is an important need of the American public library community.

It can be concluded that a good start has been made; but, that a concerted joint effort by the Public Library Association, library schools, and state library agencies is needed to educate and train public librarians in planning and performance measurement. The public library community has shown its interest and it is now a matter of how to best address the solution to reach the greatest number of public librarians who need and want this important training.

FOOTNOTES

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009-BUILD-1-E

THE POST OCCUPATION EVALUATION OF THE NEW NATIONAL LIBRARY OF NEW ZEALAND BUILDING

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1. The 6-level, 30,000m² new building of the National Library of New Zealand; and (NLNZ) was opening in Wellington in August 1987. The basic design was conceived in the early 1970's, with construction beginning in 1974. For a variety of reasons — financial, political and technological — the project proceeded very slowly and site work was completely suspended for six years. In 1982 NLNZ decided to re-brief the interior layout completely afresh, and in 1984 the building was put on a fast-track, design-and-build programme. Computerisation of the NLNZ began in 1982 and in 1984 Corporate planning with a Strategic Management Plan (SMP) was begun. The NLNZ's Wellington staff increased by 30% in the 1984–87 period which was also the time of fundamental change in the New Zealand governments administrative, financial and social policies following the General Election of June 1984.
2. What all this meant was that it was known that the NLNZ building when opened would be deficient in a variety of aspects, because of the great changes that had occurred during the life of the project.
3. To provide an orderly way of identifying these differences and remedying them, NLNZ decided to use Post-Occupation Evaluation (POE) in a manner different from that conventionally used by architects. It is hoped that our NLNZ experience, which in its specific form is a pioneering one in New Zealand, will be of interest to libraries in other countries.
4. By the time of the IFLA Conference in Sydney in August–September 1988 the NLNZ POE should have passed through the analysis, prioritising and decision stages and be at implementation.
5. These notes are being written in April 1988 to meet IFLA Paper deadlines, and will outline the nature of the Conference presentation which will report on what eventuates in the months leading up to September 1988.
6. The presentation paper will begin with a 13-minute video produced by NLNZ in August 1987. This visually describes the new building as it was at opening time.
7. The basic principles of the POE will then be described. These were:
   (a) No alterations to structure or layout would be made for 12 months after its opening. The only exceptions would be where human danger or obvious error needed minimal rectification.
   (b) A POE team would be set up with the task of analysing each area and function in the building, assessing these against pre-agreed standards.
   (c) Management Consultants would be commissioned to held define the methodology and provide the necessary structural expertise.
   (d) The main product of the POE would be a complete list of all changes needed, fully priced and identifying all flow-on implications of each change.
   (e) NLNZ Management would decide how much it would allocate from its 1988/89 financial year budget to implement these changes, ie, how far down the priority list it would go. A pro-forma advance allocation of a quarter million dollars for this was planned into the 1988/89 advance budget (fiscal year begins 1 April).
8. The method by which POE has been actioned in NLNZ will be described
   (a) the role of Sponsor — a Deputy National Librarian — a different person from the Library's Project Manager for the design/build/open process.
   (b) the role of Project Manager and his team
   (c) the role of consultants. NLNZ chose OCTA Associates Ltd for this task — a New Zealand firm of Management Consultants specialising in the programming of large construction and technical reorganisation projects. OCTA had also been commissioned by NLNZ to help with some other parts of the total building project, but for POE completely different personnel were assigned.
   (d) the role of POE Liaison Officers in the various divisions of the Library (NLNZ is divided into 6 functional divisions and in the Wellington building there are approximately 20 distinctive operational units linked to one of these 6 divisions.
   (e) the survey method and use of analysis.
9. Reactions to POE
   (a) From staff
   (b) From Managers pressing for immediate solutions
   (c) From the Consultants
10. Results of the POE
    The main findings of the POE will be described. They will be contrasted with original planning on organisational assumptions, and an assessment made as to whether they could have been foreseen or were truly post-construction matters.
11. Lessons from the POE
    (a) Is POE necessary or is it paralysis by analysis?
    (b) Can better planning reduce the need for POE?
    (c) Role of staff and of consultants.
12. Summary
    The building under discussion is New Zealand's first and only National Library building. It serves a nation of 3 million people sited 2000 kilometres across the ocean from the nearest neighbouring country. It cost NZ$50 million and took 17 years to complete. The very existence of the building has itself changed the organisation and culture of NLNZ so that it is now a totally different organisation to what it was when the layout briefing was resumed in 1982, let alone compared to the time of the basic structural design in 1971. New Zealand as a country is undergoing rapid change and its National Library must go with and even anticipate this change. To achieve this its main building must be a vehicle for facilitating this change. Without proper planning the building could become a costly monolith tying down the organisation, with proper planning it can be a powerful agent for library development, for the realisation of a national information policy and for New Zealands' cultural, social, and economic development. POE was the method NLNZ chose to ensure that the building suited the realities of its operations and strategies in the year after the first enthusiasms of opening, and will provide the analytical framework for planning future growth and development.

50-CONS-1-E

PRESERVATION PLANNING IN EUROPE

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ABSTRACT
The international conference on the "Preservation of Library Materials" held in Vienna 1986 saw a major presentation on the state-of-the-art of preservation and the launch of the new IFLA core programme for preservation and conservation (PAC). The position within "Common Market" countries has been reviewed by a European Commission funded study and in May 1988 a seminar was held in Leipzig reviewing progress since Vienna and included representatives from East and West Europe. This paper brings together

these reports and presents a broad picture of progress in preservation planning in 15 European countries.

Background

The International Conference on the "Preservation of Library Materials"[1] held in Vienna from 7–10 April 1986, saw a major presentation of the state-of-the-art of preservation and the launch of the new IFLA core programme for preservation and conservation (PAC). This conference urged national policy making bodies to establish guiding principles for formulating and implementing national programmes for the preservation and conservation of library materials. It further urged UNESCO to augment its support for activities leading to improved knowledge of the problems involved in this area. UNESCO responded by funding a joint IFLA/ICA survey of the current state of the world's patrimony[2] which demonstrated the huge scale of the problem faced by libraries and archives all over the world, a problem not much different in Europe compared with other countries. UNESCO has subsequently funded several other studies in support of the PAC core programme including the preparation of several guidelines and a survey of training needs.

The position within "Common Market" countries has been reviewed by A Wilson in early 1987.[3] Additionally in May 1988 the IFLA National Committee of the German Democratic Republic and the Deutsche Bucherei hosted a mid-session seminar in Leipzig in co-operation with the IFLA Standing Committee of the Conservation Section. This seminar was intended to review progress in the field of preservation and conservation within Europe since the Vienna Conference 1986 and included representatives from East and West Europe.

National enquiries had previously been held in France 1982,[4] the United Kingdom 1985[5] and West Germany 1983[6] which together with the UNESCO IFLA/ICA enquiry[2] showed considerable similarity in their findings.

These emphasised:

— the scale of damage involving older books, brittle modern paper and the limited life of most non-book materials.
— the totally inadequate resources in personnel and funding and the low priority accorded by funding sources.
— the low status of conservation staff
— the need for selectivity in what is to be treated if a realistic policy is to be pursued.
— the lack of statistical information and of a national policy, structure and organisation for preservation.
— the widespread use of microfilming for production of surrogates.

A brief outline of progress in a range of European countries is presented below based on the papers given at the Leipzig seminar (7.1. to 7.9.) the survey undertaken by A Wilson and contributions from France.[8]

Austria (7.1.)

Since the Vienna conference they have surveyed the condition of their collections, aimed to raise awareness of the issues and are trying to develop a national plan, though many problems still need resolving. In 1985 a concept for re-structuring Austrian federal museums was published charging museums with preserving the cultural heritage and clearly libraries must be included in this concept. A number of restoration units have been fitted out with better equipment and a few new posts created but this is still far too limited in scale. The Institute for Restoration at the Austrian National Library is also responsible for the specialised training of librarians, archivists and paper restorers and, in conjunction with the Academy of Fine Arts, is drawing up guidelines and developing and testing new methods. Microfilming of newspapers is proceeding as well as the filming of the most important manuscripts in order to restrict use of the originals.

Czechoslovakia (7.2.)

In 1987 planning for a national preservation programme was initiated. This involves the establishment of a unified national library collection based on distributed responsibilities for the acquisition, discarding and preservation of library collections with the objective of improving the storage and security of the national collections. The goals include the transfer to microfilm of rare and valuable material, the enlargement of conservation facilities and the listing and location of historical holdings to ensure their bibliographic control. Current activities involve a survey of holdings and their preservation condition, a survey of the staff involved in conservation centres and the co-ordination of microfilming of Bohemic and Slovakic periodicals in Czechoslovakia. It is intended to discuss the national plan with the Ministry of Culture with the objective of initiating its implementation next year.

Federal Republic of Germany

In Germany the collections are spread over a number of major libraries that are distributed regionally and no national survey of preservation needs of the collections has been undertaken. The Fabian report[6] reviewed the problems associated with distributed collections with the increased inaccessibility of research material due to fewer and fewer libraries being willing to lend older material. The report emphasised the need for large-scale microfilming as the best way of improving access while also helping to protect the old and rare collections. A few libraries have good conservation facilities and there has been a growing interest in promoting for the use of acid-free paper. The Deutsche Forschungsgemeinschaft advised by a library committee works to encourage co-ordination and resource sharing and is reviewing plans for the future including microfilming requirements, the role of registers of microform masters and the potential for new technology. The co-operative microfilming of newspapers in particular is an active programme.

France (8.)

The report of the Caillet Commission into the state of preservation (1979) led to the Plan de Sauvegarde of the Bibliotheque Nationale. This initiated a concept of preservation based on microfilming and chemical treatment of documents especially those of the 19th and 20th centuries and the setting up of a conservation centre at Sable and a centre for the filming and treatment of newspapers at Provins. Experience over the last 10 years has led to a re-examination of the programmes objectives and a readjustment of priorities with the development of a bulk de-acidification facility at Sable and the development of a register of microform masters. The Bibliotheque Nationale also acts as a PAC regional centre providing training and other facilities.

As the Bibliotheque Nationale preservation programme was developing the public and municipal libraries needed to organise a system for co-operation. The Desgraves Commission Report of 1982 emphasised the lines that would need to be followed and these were adopted in 1984 by the "Loi de decentralisation" which attributed conservation of the patrimony to collectivities (regions, departments and city councils). These regional associations have concentrated on microfilming with the setting up of some regional facilities. A first common catalogue of microfilmed newspapers was published in 1988 and is the first step towards a form of national register of microform masters. Emphasis has also been placed on training people in preservation issues. These regional activities are being co-ordinated at the national level. The university libraries are beginning to show an interest in this area with some special resources being available for restoration of rare documents and the development of a programme for microfilming.

German Democratic Republic (7.3.)

The Deutsche Bucherei has well planned conservation resources and is developing their paper splitting technique. They also act as an IFLA PAC regional centre and provide training facilities for conservators. However it is recognised that the next stage will have to be the development of national as opposed to institutional plans with the identification of priorities (especially for middle level material as opposed to the very valuable items), the continued support of research into new technologies, the increased provision of conservators and the improved exchange of information on international activities. To achieve this will require improved awareness and support by institutions and their senior staff.

Hungary (7.4.)

Although libraries have microfilmed 40 million pages of newspapers since 1969, they are generally poorly funded and there is a lack of awareness of protective measures to aid preservation of the collections. In 1985 the Minister of Culture established a committee to formulate a national plan and one of the outcomes has been a survey of the condition of the collections which is in the process of being analysed. Two one-year evening courses for conservators were initiated in 1981 and a new conservation workshop has been established. Realisation of the problems of paper has also led to an interest in acid-free paper and the need to persuade publishers to use such paper.

Italy

The Wilson report records the general shortage of funds and qualified personnel for conservation work with the funds being controlled by the Ministry of Culture. State libraries are required to submit work programmes that are reviewed by a committee and the Istituto Centrale per la Patologia de Libro plays a central role in determining conservation policy and specifying how conservation should be undertaken for those items included in the approved work programme. Emphasis is therefore on high quality conser-

vation work for limited numbers of items and only limited microfilming programmes exist.

Poland (7.5.)
There has been growing interest in preservation over the past 2 years since the UNESCO/IFLA/ICA survey. In 1987 at the request of the State Library Council the National Library prepared and published a strategic document on the 'State and development prospects of Polish librarianship until 2000." This was the first report to discuss in depth preservation issues and the need for an action programme. The State Library Council has adopted the report and a draft Government resolution is being prepared. A "Pro Libris" foundation has also been set up to obtain funds and organise programmes for the conservation of library materials. This foundation was preceded by a number of studies which led the initiation of a bookbinding class, the establishment of a bookbinding workshop and the start of a programme to publish preservation manuals.

Switzerland (7.6.)
The Arbeitsgemeinschaft fur Papierrestauration Bern (AGPB) founded in 1982 works to promote awareness, the training of conservators, the creation and design of workshops, to support national activities and to liaise with science and industry. They have developed parchment restoration techniques, estimated the size of the paper embrittlement problem, are reviewing mass treatment options, have established a training programme for paper restorers and are planning four one-week workshops per year over the next four years. Particular interest is expressed in the use of acid-free paper.

Sweden (7.7.)
The bigger libraries have conservation workshops of their own and some 70 craftsmen are employed in libraries and archives while normal bookbinding services are still available commercially. To make progress a co-operative project on paper conservation has been started, funded by the Government and involving libraries and archives. This project involves a review of paper conservation issues including a survey of the literature on ageing/deterioration and a study of bulk deacidification methods. They are surveying the condition of their collections and are going to investigate the natural ageing of paper samples kept in the State Testing Station. A 3 year degree level course for conservators has been established at the University of Gothenberg and new workshops are being set up in Southern Sweden. In Southern Sweden a centre for microfilming Swedish daily newspapers also exists.

United Kingdom (7.8.)
A survey of preservation policies and priorities in British libraries in 1984[5] illustrated the growing interest in preservation as well as the generally low levels of expenditure in all but a few libraries with the British Library being one of the exceptions. An assessment of the condition of the collections has been carried out and clearly shows the scale of the problem. In 1984 the National Preservation Office was established as a national focal point and started by placing greater priority on promotion of awareness, provision of preservation guidelines and development of information and referral services. It works to promote co-operation between libraries and develop national preservation policy. The need for selectivity in preservation programmes and the impossibility of treating all those items that might deserve retention has been broadly accepted and the potential use of Conspectus as a way of sharing preservation responsibilities is being considered. Microfilming is used as a major option for preservation not only for newspapers but for books and periodicals and a register of microfilm masters has been established. This serves as a basis for exchanges with the USA and France as well as for co-operation with other countries. With the hand conservation of items being so expensive the use of boxing as a protective measure is growing while research is being carried out into bulk treatment by paper strengthening using a co-polymerisation technique. A strong interest has also been shown in the promotion of the use of acid-free paper.

USSR (7.9.)
The USSR is working towards establishing a national unified library stock based on the collections of state and public libraries in order to ensure overall coverage of library materials. A survey of the condition of the collections is to be undertaken and it is recognised that work on the bulk treatment of acidic paper must be a priority task. Emphasis is being placed on protective measures to extend the life of the collections such as improved storage conditions and an enlarged and improved programme of research and development is to be pursued with division of responsibility between major institutions. One of the projects being covered by the programme is the microfilming of the most valuable documents as a way of protecting them and providing an insurance copy. It is hoped to establish a central microfilming facility to assist in this task. Currently training of conservators is undertaken individually in a small number of large laboratories and libraries but this does not provide sufficient staff and will need to be organised through appropriate educational institutions.

Other countries
Denmark has microfilmed all Danish newspapers since 1976 and has undertaken a preliminary survey of the state of the collections in selected libraries while Luxembourg has also microfilmed its national newspapers and the national library has surveyed the state of the most widely used newspapers. The National Library in Lisbon, Portugal has recently set up a small preservation programme with facilities for microfilming, conservation and binding while some projects for microfilming have been initiated in the realm of public libraries, archives and museum libraries.

Conclusions
Since 1986 there has been a growing awareness of and concern for preservation and conservation in libraries and archives throughout Europe. It is clear that most countries are beginning to take preservation more seriously and more efforts to develop national policies can be seen. To make progress requires both resources and commitment. Co-operation between countries with support for the IFLA PAC programme can only speed up this process and help to ensure the preservation of our written and printed heritage.

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STRATEGIC PLANNING FOR LIBRARY ASSOCIATIONS

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American Library Association May, 1988

INTRODUCTION

Through the voluntary efforts and commitments of members, leaders and staff, library associations provide leadership to the profession and influence the role of libraries in society. Library associations may even influence social trends through a variety of means, such as publishing programs, public awareness activities, legislative efforts and policies. Strategic planning is one of the ways that associations may use to provide more effective leadership.

A formal strategic planning effort is one of the tools that can supplement other association actions, and when properly managed, enhance the effectiveness of all other actions. The following paper encourages the use of strategic planning to increase association effectiveness and describes a few experiences of the American Library Association with strategic long-range planning.

Library associations have considerable power and influence. They have the power to marshall the energy, resources and volunteer time of hundreds perhaps thousands of dedicated members and professionals. They can help to build consensus on issues, mobilize public opinion and influence the actions of the profession and others.

Although associations have power and influence, they face unique weaknesses that may inhibit their effectiveness. For example, for all but a rare few, the excitement in association work comes not from planning for the future, but from engaging in actions now that seem to be moving the association's interests forward. However, in associations where large numbers of members come together for brief and intense periods at conferences and meetings and then go back to their real jobs, many of these actions are started and delayed for long periods; many actions are pursued with energy, excitement and enthusiasm but often without a clear understanding or awareness of how these actions fit into broader long-range strategies that will help the association achieve challenging goals. In fact members, leaders and staff do not usually think in terms of long-range strategies that require commitment of resources and many individuals over long periods of time. Rarely do association staff and members ask if certain actions will be the most effective? Will these actions have the greatest impact? Instead actions are ocassionally pursued because they respond to pressures from a relatively few vocal and outspoken groups. Sometimes actions are pursued because they are simple and can be accomplished easily within the constraints of a volunteer's term of office, usually one or two years. These simple actions give a sense of immediate accomplishment. Rarely do association members, leaders and staff ask: of all the possible actions that can be pursued, are these the most effective? Are these the actions that will help the association and the profession reach its goals most effectively and most efficiently?

The purpose of strategic planning is to identify clearly the most desireable end results, and to give clear direction to the work of the associations' members, leaders and staff. Clearly articulated desireable end results, mission and goals, should dictate which strategies and actions are pursued, how they are pursued, and when they are pursued. Making such choices is difficult, but essential and it requires commitment to effective planning, decision-making, prioritizing and evaluating. This commitment is far more difficult in volunteer associations than in other types of organizations because of the high value placed on member initiative and autonomy.

Recognizing that there are limitations on strategic planning in associations, it is particularly important for association members, leaders and staff to keep three things in mind:

1. strategic planning is a powerful tool,
2. strategic planning is an opportunity to provide more effective leadership,
3. strategic planning is a responsibility.

I. STRATEGIC PLANNING IS A POWERFUL TOOL

Strategic planning is a management tool that can be used by members, leaders and staff like other tools such as budgeting or selecting qualified and experienced staff. These tools help associations focus resources, build strengths or overcome weaknesses in certain areas so that the association can move in a direction of choice. Planning doesn't take responsibility for making these choices from decision-makers, it helps them by providing the information that is needed to make effective decisions.

Charles McClure describes the importance of information in strategic planning. He says ". . . a better appreciation for an ongoing process to collect, organize and manage planning information is needed. The ready accessibility to microcomputers puts such information easily within grasp. Librarians must be better able to justify planning activities on processes other than informed opinion."[1] The notion of collecting information is critical.

Most readers of this paper are familiar with the basics of strategic planning. The process is quite straightforward and includes four basic steps that require:

A. identifying and analyzing internal and external factors that are influencing the association and the profession. This is primarily what distinguishes strategic planning from more traditional planning.[2]

   These factors include:

   1. external opportunities and threats in the political, economic, technological environment, such as: too few librarians entering the profession, increasing censorship attempts, pending legislation, rising cost of library materials, or the higher value placed on information by society.
   2. internal strengths and weaknesses of the association or the profession, such as: large numbers of dedicated volunteers, competing demands on the library association's limited resources, increasing or decreasing membership, increasing or decreasing revenues.

B. developing a clear statement of the association's mission and setting goals and realistic, measureable objectives. For example, in 1986, the American Library Association approved the following mission:

   "to provide leadership for the development, promotion and improvement of library and information services and the profession of librarianship in order to enhance learning and to ensure access to information for all."

   In addition to this mission, ALA also approved 52 program and organizational goals. (Attachment I) These are ALA's challenges for a better future. They will require continuing work in the future. It is not expected that this mission and these goals will be achieved in a short period of time nor that they will change perceptively over time. They are timeless.

C. creating and implementing strategies and actions that will assist the association in achieving its mission and goals.

   In associations, strategies and actions are pursued at many levels, becoming increasingly specific at lower levels of implementation responsibility. For example, strategies become more specific as one moves from an executive board's responsibility for determining broad association priorities and strategies to individual committees that pursue specific strategies and actions in their area of concern. It is essential to maintain a high interplay among members, leaders and staff at all levels in the library association's hierarchy.

   John Bryson and William Roering say that this consideration of a broad and diverse set of "stakeholders" is a distinguishing characteristic of strategic planning in non-profit organizations like library associations. They define stakeholders "as any individual, group or other organization that can place a claim on the organization's attention, resources or output or is affected by that output."[3] In library associations members, leaders, service recipients and staff are examples of stakeholders.

   ALA pursues strategies that can be categorized into one of the following functional areas of association responsibility:

   1. providing support to member groups so that these groups are effective.
   2. developing relationships and building coalitions with other organizations to address issues of common concern.
   3. developing effective relations with government agencies so that the association can influence legislation.
   4. publishing periodicals and nonperiodicals so that the membership and profession are informed.
   5. holding conferences, meetings and workshops to educate and inform the members and the profession and to transact association business.
   6. supporting graduate education and career development so that new librarians are recruited to the profession and current librarians are assisted with their careers and responsibilities.
   7. carrying out research, seeking and providing information in areas of concern to the profession.

D. And measuring and evaluating the degree to which strategies and actions are assisting the association fulfill its mission and reach its goals.

Although these four basic planning steps appear quite simple, carrying them out is usually complex, sometimes discouragingly so, because of the distinct characteristics, structure and complexity of each associations, and because of many conflicting external and internal pressures.

Every association proceeds with strategic planning and develops a plan that is suitable and unique to the way that it must meet its needs and the needs of its members and the profession. A survey of published library association plans shows the above four common elements among all of them, but wide variations in approach, priorities and results.

Planning is a time for reflection and self assessment. It enables the association's members, leaders and staff to assess the full spectrum of issues and challenges facing the association and the profession. These compete for attention and resources. Planning is time to study and analyze. It is time to gather useful information that can guide decision-making. Of course, planning does not require stopping all current actions, but it requires regularly stepping back, ideally for a day or two each year with key decision-makers, to think about where the association is headed. Planning is time to measure and evaluate progress and results.

II. PLANNING IS AN OPPORTUNITY TO PROVIDE MORE EFFECTIVE LEADERSHIP

John Gardner describes several leadership tasks: envisioning goals, affirming values, motivating, managing, achieving a workable level of unity, explaining, representing the group externally, and renewing goals in an ever changing world.[4]

Associations provide leadership in a variety of ways. They develop policies that guide actions within the profession. They speak out or prepare testimony for public hearings. They identify other issues that need attention. They provide forums for the discussion of ideas and opinions. They provide advice and counsel to individuals and groups. The mobilize volunteer resources to deal with issues. They build coalitions. They gather and disseminate information.

In planning, the information that is gathered and compiled assures that the association speaks with authority and reflects accurately membership opinion.

Planning documents that are developed by library associations can be used by members, leaders and staff in a variety of ways. The fundamental purpose of these documents however, is to promote discussion and to build consensus on major priorities and goals, to achieve a workable level of unity and understanding among members who are widely dispersed. These documents encourage members to explore a variety of strategies for addressing goals. They help members select effective strategies. Planning documents provide a basis for clearer communication about conditions and needs within the profession and society.

Planning documents also help to show the interconnectedness among major areas of concern and among the strategies and actions that are pursued in different areas. They help to show the full range of actions that are underway. They can also be used by other individuals and associations as they themselves seek to coordinate plans, explore alternatives, and identify how their own organization can address its priorities.

Richard F. Vancil[5] states that in a complex organization no one man, not even the president or the chief executive officer, can identify all of the opportunities that exist nor all of the actions that are underway. This is especially true in volunteer associations. It is sometimes difficult for elected leaders and groups in leadership positions to exercise leadership. First, because there is such an enormous range of activities and interests that it is difficult for any one individual or group to really know and understand the full dimensions of an association's program. Second, most individuals speak primarily from their own experiences, personal priorities or interests, rather than from an objective assessment of the association's total work.

Strategic planning can illicit highly individualized strategies from many different sources of initiative, individuals and committees, in the association. These personalized strategies provide richness and diversity to the association's program and engenders commitment and involvement, key association values.

Planning documents are tools to be used in providing leadership. These documents are developed in many stages. It is essential to allow sufficient time so that a broad representation of different points of view is expressed and represented in the plans of library associations. These goals and strategies draw on the expertise and interests of the profession at large. It is this dialogue that adds substance to the plan, while at the same time building consensus.

In the American Library Association's experience, planning documents have indeed helped to develop widespread familiarity and acceptance among members, leaders and staff of six program priorities: Access to Information, Intellectual Freedom, Legislation and Funding, Public Awareness, Personnel Resources and Library Services Delivery and Technology, and three organizational support priorities: Roles and Relationships, Finances, Human Resources. (Attachment I) Although many members were aware that these were ALA priorities in the past, there was certainly not the level of awareness about them that there is today. In addition, there was considerable confusion about what specific goals ALA was trying to achieve in each area and how it intended to achieve these goals.

One indication today of the greater familiarity with ALA's priorities is illustrated by their frequent use by members, leaders and staff to explain requests for funding or to defend certain recommended actions. Members are using planning documents to decide upon, explain and justify actions. In addition, in increasing instances smaller units within the association and chapters throughout the states are following the content and format of the ALA plan in developing their own.

III. STRATEGIC PLANNING IS A RESPONSIBILITY

Michael Rippey states that "Most association executives . . . realize that strategic planning is something they should attend to, but ask ten association executives to show you copies of their organization's strategic plans, and most of them will turn pale. Only two or three of them will be able to produce any type of strategic document or plan and only one of them will actually be using the plan as a management tool." Further, he states, "Many association executives rank strategic planning somewhere between a waste of time and an impossibility. Planning takes too much time, is too risky, keeps you from getting your job done, and produces results that are outdated before they can be implemented."[6]

Despite these detractors and these negative views, McClure states that "as with other management tools, there are the believers and nonbelievers. Ultimately, planners assume that change is not only possible but also desirable, and can be directed within a particular setting. Therefore, to be a planner and to promote the use of a planning process is to state publicly one's optimism and ones belief that we can increase effectiveness, better exploit opportunities, and successfully adapt to a changing environment."[7]

In 1986, the Independent Sector convened a focus group to identify and publicize more clearly the basic factors that relate to the effectiveness of nonprofit organizations. The Nonprofit Organizational Effectiveness Study resulted in discussion papers and many recommendations. One of these recommendations is that nonprofit organizations can improve their performance by "learning to do a better job of goal setting, planning and evaluation . . . Many nonprofits, while strong in other areas, tend to be particularly weak in these important elements of sound organization practice."[8] This study also recommends that it is the governing body's responsibility to: formulate goals, priorities, policies and plans for the total organization; and to link resources to these priorities and plans with the annual budget.

SUMMARY

John Bryson describes succinctly strategic planning. "It comprises broad policy and direction setting, internal and external assessments, attention to key stakeholders, the identification of key issues, development of strategies to deal with each issue, decision-making, action, and continuous monitoring of results."[9]

Although associations have the potential for providing leadership and for exercising power and influence, they face certain constraints as voluntary membership associations but they also have certain unique strengths, especially in gathering, organizing and disseminating reliable information and in mobilizing human and other resources among stakeholders. Strategic planning is a powerful management tool that can be used to provide more effective association leadership, to select strategies from among appropriate association functions, and to develop unique plans that fit the needs of the association and the profession. Strategic planning is a responsibility of members, leaders and staff.

Associations can be proud of their achievements. "Management consultant, Peter Drucker, was once asked by a business reporter, What is the most effective organization with which you've ever worked? Obviously, the inquirer assumed that the answer would be a business corporation such as General Electric or Xerox or Hewlet Packard. Drucker thought a moment and replied, the Girl Scouts. The reporter laughed and said that he hoped Drucker would be willing to give a serious answer, and Drucker responded that he was absolutely serious in believing the Girl Scouts were the most effective group with which he had worked. He pointed out that if you

took that many dedicated volunteers, with a professional staff oriented and trained to increase the usefulness of the volunteers, and you pointed all of that energy and commitment toward an important social purpose such as the development of women and girls, those were clearly the ingredients for effec .veness and excellence."[10]

Throughout ALA's planning process, ALA's leaders have stressed the responsibility to build a "leadership partnership" among members, leaders and staff. They have urged that all become meaningfully involved in the process. By their nature, associations must have great respect and place a high value on membership initiative, membership independence and freedom to pursue common goals. This value may make it difficult to coordinate activities, to pool resources and to focus energies, but this weakness is more than compensated for by the enthusiasm, energy, quality and quantity of actions that are pursued by large numbers of members. It is clear that associations can maintain actions simultaneously on many fronts because of the large number of involved members. This approach provides for a rich and diverse program and makes it possible for a high level of membership involvement in activities that are of major concern to them.

NOTES

1 Charles R. McClure, "Library Planning: A Status Report," in ALA Yearbook of Library and Information Science, Chicago, American Library Association, 1986.
2 John M. Bryson and William D. Roering, "Applying Private-Sector Strategic Planning in the Public Sector," APA Journal, winter 1987.
3 Ibid., Bryson and Roering.
4 John W. Gardner, "The Nature of Leadership," Leadership Papers/1, Washington, D.C., Independent Sector, 1986.
5 Richard F. Vancil, "Strategy Formulation in Complex Organizations," Sloan Management Review, winter 1976.
6 Michael C. Rippey, "Strategic Planning, It's Harder Than It Looks," Association Management, August, 1986.
7 Charles R. McClure, op. cit.
8 Independent Sector, "Nonprofit Organizational Effectiveness Study: Early Stage Discussion Paper," a study being conducted by the Effective Sector Leadership/Management Program of the Independent Sector, Washington, D.C., October 1986.
9 Bryson and Roering, op. cit.
10 Brian O'Connell, "Evaluating Results," Nonprofit Management Series, number 9, Washington, D.C., Independent Sector, 1988.

Attachment I

STRATEGIC LONG-RANGE PLAN

AMERICAN LIBRARY ASSOCIATION

MISSION, PRIORITY AREAS, GOALS

At the 1986 Annual Conference in New York the ALA Council approved this strategic long-range plan for the Association.

1. MISSION, PRIORITY AREAS, GOALS

1.1 INTRODUCTION

Any organization as large, diverse, and dynamic as ALA must periodically reassess priorities in order to make progress in selected areas determined to be of prime concern to its members. The diversity of the membership dictates a wide range of interests that frequently overlap or complement one another. Nonetheless, we can identify overriding priorities that ALA should pursue vigorously within the United States and coordinate with groups abroad. Only such focusing of efforts and the subsequent allocation of Association funds and evaluation of its activities can ensure needed progress within the profession.

ALA recognizes its broad social responsibilities. The broad social responsibilities of the American Library Association are defined in terms of the contribution that librarianship can make in ameliorating or solving the critical problems of society; support for efforts to help inform and educate the people of the United States on these problems and to encourage them to examine the many views on and the facts regarding each problem; and the willingness of ALA to take a position on current critical issues with the relationship to libraries and library service set forth in the position statement.

ALA promotes the creation, maintenance, and enhancement of a learning society, encouraging its members to work with educators, government officials, and organizations in coalitions to initiate and support comprehensive efforts to ensure that school, public, academic, and special libraries in every community cooperate to provide lifelong learning services to all.

1.2 MISSION

The mission of the American Library Association is to provide leadership for the development, promotion, and improvement of library and information services and the profession of librarianship in order to enhance learning and ensure access to information for all.

1.3 PRIORITY AREAS AND GOALS

Priority Area A: Access to Information

ALA will promote efforts to ensure that every individual has access to needed information at the time needed and in a format the individual can utilize, through provision of library and information services.

Goals

1: All individuals have equal access to libraries and information services.
2: Instruction in information use is available to all.
3: Government information is widely and easily available.
4: Library collections are developed, managed, and preserved to provide access for users to the full range of available knowledge and information.
5: Access to information is facilitated by bibliographic organization.
6: Library use is high.
7: Fees are not a barrier to library access and service.

Priority Area B: Legislation/Funding

ALA will promote legislation at all levels that will strengthen library and information services. Means will be developed for facilitating the effective competition of libraries for public funds as well as for funds from the private sector.

Goals

1: Libraries have adequate funding from public sources (local, state, federal).
2: ALA members are well informed about opportunities for raising funds from private sources.
3: Reliable and timely statistics and information about all sources of library funding are available.
4: Congress consistently approves legislation favorable to libraries.
5: Local governing authorities and state legislatures consistently approve ordinances and legislation favorable to libraries.
6: Information about legislation with potential impact on libraries and library service is easily available.

Priority Area C: Intellectual Freedom

ALA will promote the protection of library materials, personnel, and trustees from censorship; the defense of library personnel and trustees in support of intellectual freedom and the Library Bill of Rights; and the education of library personnel, trustees, and the general public to the importance of intellectual freedom.

Goals

1: First Amendment rights are secure.
2: Persons whose First Amendment rights are challenged have adequate support.

Priority Area D: Public Awareness

ALA will promote the role of librarians and the use of libraries and their resources and services as well as the awareness of their importance to all segments of society.

Goals

1: ALA provides information about libraries to all.
2: Librarians are recognized as proactive professionals responsible for ensuring the free flow of information and ideas to present and future generations of library users.
3: Libraries are recognized as proactive agencies essential to the cultural, educational, and economic life of society.

Priority Area E: Personnel Resources

ALA will promote the recruitment, education, professional development, rights, interests, and obligations of library personnel and trustees.

Goals

1: Library and information science education meets the changing library and information needs of society.
2: Master's level programs are effectively accredited.
3: Librarians and all other library personnel are paid equitable and attractive salaries.
4: Librarians have a variety of opportunities for professional development and continuing education.
5: Workshops and conferences conducted by ALA are available to librarians, trustees, and others interested in libraries.

6: Job information, placement, and career services are readily available to librarians.
7: Effective library personnel policies are established and used.
8: Librarianship recruits a racially and ethnically diverse group of high caliber persons.
9: Librarians uphold the ALA Code of Ethics.
10: Librarians are proactive professionals who ensure the free flow of information and ideas.

Priority Area F: Library Services, Development, and Technology
ALA will promote the availability of information tools and technologies which assist librarians in providing services responsive to the changing needs of society.
Goals
1: Guidelines, standards, and codes are formulated and promoted to facilitate effective library service.
2: Professional resources in a variety of formats are produced by ALA.
3: Statistics about libraries are collected regularly and distributed promptly.
4: Research related to libraries and librarianship is conducted and results are widely disseminated.
5: Information and advisory services about libraries and librarianship are available from ALA in response to requests.
6: ALA encourages cooperative activities to improve service to library users.
7: ALA promotes access to information via technological means.
8: Librarians are able to use technology effectively.
9: Library funds are managed effectively.
10: Librarians practice effective public relations.
11: Libraries are proactive agencies which meet the challenges of social, economic, and environmental change.

1.4 ALA ORGANIZATIONAL SUPPORT GOALS
In order to address these priorities, ALA will use its resources wisely and maintain a flexible structure that promotes the diverse interests and broad participation of members and units.

Organizational Area A: ALA Roles and Relationships
The size and complexity of ALA with its many and diverse units creates difficulties in coordinating roles and responsibilities. ALA has an opportunity to recognize diversity as a strength and build on it.
Goals
1: The activities and programs of ALA are coordinated.
2: ALA speaks with one voice for the profession.

Organizational Area B: ALA Finances
ALA maintains financial stability.
Goals
1: ALA obtains a significant amount of income from sources other than dues.
2: ALA maintains adequate cash reserves.
3: New markets are developed for ALA's products and services.
4: ALA has a continuously updated multiyear financial plan.
5: ALA provides accurate and timely financial reports to members, officers, and staff.

Organizational Area C: ALA Human Resources
A large, stable, and involved membership is essential to the health and effectiveness of ALA. The development of new leaders must be continuous in the association. ALA must maintain staff with a high level of expertise and commitment.
Goals
1: ALA membership is large and stable.
2: Large numbers of members are involved in the work of the Association.
3: ALA leaders are effective.
4: ALA responds to the needs and interests of members.
5: ALA staff provides a high level of expertise and service.
6: Members are fully informed about ALA activities.
7: State library associations/chapters are fully informed about ALA activities.
8: Appropriate and timely data about the ALA membership are available.

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THE SWEDISH NATIONAL ARCHIVE OF RECORDED SOUND AND MOVING IMAGES — THE ALB

Sven Allerstrand, *Director The National Archive of Recorded Sound and Moving Images, Stockholm, Sweden*

ABSTRACT
In 1979 the obligation of legal deposit that has long existed in Sweden in respect to printed publications was extended to certain audio and video recordings. A new government institution Arkivet for Ljud och Bild (the ALB) — the National Archive of Recorded Sound and Moving Images — was established for the purpose. Under the Statutory Deposit Act radio and television programs, films, videocassettes, records and sound cassettes must be submitted to the ALB. A presentation of the Statutory Deposit Act and the ALB is given.

Background
Since 1661, Swedish publishers have been required to deposit one copy of each of their publications with the Royal Library, which is the Swedish national library. The original purpose of this law was, of course, to facilitate state censorship. Gradually, however, the cultural and research significance of this collection of printed material came to predominate, and the deposit requirement was extended to university libraries as well.

The last few decades have seen a growing awareness of the deplorable discrepancy that exists between the measures taken for preserving the written word and those taken for preserving the "modern media."

The Establishment of the ALB
In the late 1960s, the government appointed a commission to consider the establishment of a more systematic preservation of audio and video recordings. In 1978, the Swedish parliament passed the Statutory Deposit Act. The Act specified that the deposition requirement that applied to printed publications should be extended to certain audio and video recordings.

The Act also provided for the establishment of a new government institution to be called *Arkivet for ljud och bild (the ALB)* — the National Archive of Recorded Sound and Moving Images. The Act came in force in January 1979 and ALB was established simultaneously.

The Statutory Deposit Act
Under the Statutory Deposit Act the following categories of recordings must be submitted to the ALB:
— Recordings of all radio and television programs broadcast by any of the four subsidiary companies of the Swedish Broadcasting Corporation, i.e. nationwide and local radio programs, as well as nationwide and regional television programs. The companies make recordings of their programs continuously, and the recordings are submitted to the ALB six months after broadcasting;
— One print of all 16 and 35 mm films approved by the Swedish National Board of Film Censors and shown to the public in Sweden. The ALB does not preserve films in their original form. The film copy is transferred to videotape and thereafter returned to the film distributor;
— One copy of all videograms (videocassettes etc.) printed in Sweden in at least 50 copies and made available to the public;
— One copy of all phonograms (sound recordings, records, tapes and cassettes etc.) printed in Sweden in at least 50 copies and made available to the public;
— One copy of all phonograms and videograms imported into Sweden in at least 50 copies and made available to the public, provided that they have a special Swedish interest, e.g. a Swedish artist or Swedish texts.

In addition to statutory deposits, the ALB also acquires other kinds of audio and video recordings, which may be of interest for research purposes. The aim behind the legislation of 1978 was to include generally speaking all that was provided for the public in Sweden in the way of audio and video recordings. The rapid developments in the media sector resulted, however, in large sections of the currently available material falling outside the Statutory Deposit Act. Distribution forms such as neighbourhood radio, satellite and cable TV etc. have in recent years totally changed the media situ-

ation. With the regulations in force today this material will not be available to future researchers.

In order to look into whether these new media should be included in the system of an obligatory copy of every audio and video recording being sent to the ALB, a government commission was appointed in 1986. In its report *Ljud och bild for eftervarlden (SOU 1987:51)*, the commission proposes certain changes in the law so that, for example, a selection of neighbourhood radio broadcasts and of the TV-programs broadcast via satellite and cable network will be lodged in the archives. The proposals are now being studied by the Swedish Ministry of Education.

Organisation of the ALB

The ALB is almost totally subsidised by tax money, and has an annual budget of 10 million Swedish kronor. Its staff numbers 30 persons.

The ALB has, in accordance with its directives, the task of accepting such sound radio and television programs, films, records, sound recordings and cassettes as well as video cassettes which under the Statutory Deposit Act must be sent to the Archive. The ALB also must accept and acquire for deposition or as a gift other sound and film and video recordings.

The ALB is under the obligation to handle and take care of the archive material that is stored at the ALB and to carry out any necessary sorting out for cancellation, to keep the archive material available and on request to supply the authorities and individuals with information and advice.

The work of the ALB may be subdivided into the following main sectors: acquisition, storage, cataloguing and availability service.

The acquisition department's main tasks are to ensure that the obligatory copy is given to the ALB, and also to accept and register the material arriving. An important part of the work consists of keeping an eye on the supply on above all the film, video and audio market and to inform those who have to supply a compulsory copy about the Statutory Deposit Act. Despite the fact that the supply of a compulsory copy is covered by legislation a lot of work is required in the form of reminders etc. to ensure that the Act is observed. The acquisition department is also responsible for the acquisition of material that is not covered by the Statutory Deposit Act but which is deemed to be of interest from a research point of view. An additional task entrusted to the acquisition department is ensuring that the collections are taken care of and stored in a satisfactory manner.

The cataloguing department is responsible for the cataloguing of the material. This is a necessity if the archive is to meet its responsibility to make the material available. At the outset the ALB did not receive any resources for a comprehensive cataloguing of the collections. It was taken for granted that primarily already existing catalogues would be used and that in other cases co-operation with other cataloguing institutions would be sought, above all with the Swedish Broadcasting Corporation and the Swedish Film Institute. In 1987 the ALB received funds to purchase its own computer system. As a result of this, completely different possibilities have been created for building up a catalogue system which meets the requirements made by the users of the ALB.

The technical department's main tasks are to transfer the compulsory copies and acquisitions of films to videocassettes — the ALB has two film scanners at its disposal — and also to make copies for research purposes of the ALB's archive tapes, so-called study copies. The technical department is also responsible for purchases, maintenance and some servicing of the technical equipment. The technical department is in addition responsible for restoration, recopying and other technical care of the collections.

The research service department, lastly, is responsible for making material from the ALB's collections available to researchers.

What is sent to the ALB?

Radio and television recordings

The Swedish Broadcasting Corporation, which is the national radio and TV organisation, consists of a parent company and four subsidiaries, the Swedish Radio Company, the Swedish Local Radio Company, the Swedish Television Company and the Swedish Educational Radio Company. The Educational Radio Company has no transmission rights of its own and broadcasts its programs with the other program companies.

The National Radio Company's transmissions are recorded on reel tapes with four parallel tracks. The recordings are made at such a low speed that each tape has room for six hours of transmissions on four channels. The slow recording speed means a low technical quality, as a result of which the tapes cannot be employed for program purposes, for example. The ALB aims in the long term to raise the recording quality, which might also benefit the radio company. About 1,500 national radio company tapes are sent annually to the ALB. The Local Radio Company makes its recordings at the same speed and on the same type of tape as the National Radio Company. Since 1979 the local radio broadcasts have doubled in volume and they are continuing to increase. About 2,500 local radio tapes were sent to the ALB in 1987.

Two principles are in force for the recordings for television. Firstly the total program production is recorded on ordinary VHS cassettes — reference tapes — and, secondly, large amounts of the Swedish production are recorded on professional one-inch tapes. There are two reasons for this arrangement. In its capacity of the national archive, the ALB has a greater responsibility for the domestic production and therefore strives to keep this at as high a technical quality level as possible. The Swedish Television Company is able to use these tapes for retransmission and as a result can cut down its own archiving. The ALB receives about 2,600 VHS cassettes and about 650 one-inch tapes annually.

Films

Already during the preliminary work for the ALB it was proposed that videotapes should also be the means of storage for the film productions that were to be achieved. The ALB was therefore not given the possibility of storing films in their original form, on a film base, but instead the compulsory copy under the Statutory Deposit Act is transferred to a videotape on a film scanner. The films must be sent to the ALB not later than one month after the Swedish premiere. By a lucky chance the premises of the ALB are next door to the National Board of Film Censors. The ALB has reached agreement with most film companies to the effect that it is possible to do the transferring to videotape in conjunction with the censors dealing with the films. As a result of this, the ALB is spared onerous transportation problems and, in addition, obtains access to unperformed copies. Every year about 300 full-length feature films have their premiere in Sweden. In addition to these, a number of short films, trailers and advertising films are also sent to the ALB.

Videograms

At the time of the inauguration of the ALB, there was practically no video market in Sweden, but during the autumn of 1980 videocassette hire really got going. Since then, there has been a vigorous increase in the video supply. Videocassettes must be sent to the ALB within a month of their being available for sale or hire in Sweden. About 1,200 new titles are released every year on the Swedish video market.

Phonograms

As early as 1958 the National Archive of Recorded Sound was founded as a department of the Royal Library. At that time its activities were based on voluntary agreements with the record companies, and since the start about 100,000 78's and about 30,000 microgroove records have been collected. From 1979 the voluntary agreements have been replaced by a statutory deposit obligation for the record companies to submit one copy of each recording. The National Archive of Recorded Sound was incorporated in the ALB on 1 July, 1979. Every year, about 2,500 phonograms are sent to the ALB as statutory deposits.

Miscellaneous

In addition to the compulsory copies, the ALB also acquires through purchases or donations a number of sound, film and video recordings every year. In the case of phonograms continuous work is in progress on obtaining a complete collection of the Swedish records and other sound recordings also retroactively. Via the ALB, researchers can have access to material from the radio and television companies' program archives. Old films are acquired from the film archives of the Swedish Film Institute and from individual film companies. The ALB often receives offers from local arts and crafts organisations, archives, museums, companies and private persons. During the course of last year the ALB acquired almost 5,000 records and tapes through purchase and donations.

The ALB and the copyright laws

There are in Sweden, as in most other countries, laws relating to copyright. These laws prescribe, among other things, how radio and television broadcasts, films, videograms and phonograms may be used. Practically all the material kept by the ALB is affected by the copyright legislation. It is obvious that it would be practically impossible to obtain all the necessary copyright consents every time that the use of a production is needed. Accordingly, the ALB has been granted general permission, by means of special stipulations, to use its collections if certain conditions are complied with.

Only for research purposes

What the ALB was intended for was explicit from the beginning. The archive was to serve today and tomorrow's researchers. The facilities for using the collections stated in the copyright laws only relate to "serious research purposes." It is incumbent on the ALB to ensure that no material protected by copyright is made available for purposes other than serious research — unless the copyright proprietors give their permission. Every patron must fill in an application form from which it may be judged whether the person concerned is a bona fide researcher entitled to access.

Of course, some borderline cases may occur when the ALB has to decide if a prospective user really satisfies all the requirements. The Archive's aim, however, is to give the concept of research as broad an interpretation as possible without infringing copyright regulations.

What is meant by a Researcher?

According to the official policy of the ALB, people or groups of people are defined as researchers if the following requirements are fulfilled:

— The work must be carried out in a scholarly manner. Consequently, a person is not admitted to the ALB's collections merely to indulge his own interest.
— The aim must be to document the result of the work for publication.

Researchers prove evidence of their qualifications in two ways:

— through earlier work, for example research training or earlier production, or through a tutor who verifies that the person concerned is expected to work according to the rules;
— by means of a more or less detailed plan for the work which is to be presented to the ALB before the bookings are made.

Other forms of acquiring knowledge are also close to the traditional method of research work. It may be a matter of fact finding for reports, journalism, radio, television or film productions etc. The ALB is of the opinion that such work is, in principle, equivalent to research.

We cannot of course assess the expected scholarly quality of those who state that they are researchers. If the above requirements are met, the applicant is accepted as a researcher and is admitted to the ALB's collections.

Address: Arkivet for ljud och bild, Box 7371, S-103 91 STOCKHOLM
Visiting addresses: 65 Regeringsgatan (administrative office), 2 Sibyllegatan (research office).

IFLA General Conference, Sydney, 1988
Division of Management and Technology
Section on Library Buildings and equipment

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Library Technology Development and Its Impact on the Library Building Interior

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The All-Union State Library
of Foreign Literature,
Moscow, U.S.S.R.

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Library Technology Development and Its Impact on the Library Building Interior

The present development of libraries and library technology is determined by the democratization of culture and technological progress. It accounts for the extension of the library functions as the cultural institution and the transformation of the technological standards of the library building interior.

Modern library acts as a multifunctional cultural institution that meets the aesthetic and spiritual demands of the society.

The development of library technology means the employment of new types of information carriers, computers, new communication means, and the technology that ensures the preservation of the collections.

The employment of new technology makes the library building a complicated system that includes the communication network for the operation of computers on the basis of which the automated information library system functions, and the necessary number of telephone channels that provide the access to other information systems. In the library building other electronic systems function: electronic guide control system, fire control, closed circuit TV, check-point system. The library building should have the climatic system and chemical equipment that are used for conservation and restoration of the collections. The energy supply system is also necessary.

Modern library satiated with complicated equipment may be called "an electronized building". This term, recently mentioned in literature, reflects the characteristic features of the modern

library building and the role of libraries in the world of information.

The comparison of two library buildings projects(that have the interval in 25 years) illustrates the transformation of the library buildings design, stipulated by the inculcation of information technology. The two buildings are: the All-Union State Library of Foreign Literature in Moscow (VGBIL) constructed after 1960, and the Estonian State Republican Library in Tallin that will be finished by 1989. The choice of these two buildings for the comparison is stipulated by the proportionality of the collections: VGBIL collections amount to 4,5 mln, the Estonian Library collections - to 3,5 mln. The planning of the two buildings is absolutely different.

The planning of the VGBIL building is based on the traditional library technology that provides the centralized storage and individual service.

The basic planning principle in the Estonian Library may be defined as follows: open access to the main collection, efficient services on the basis of information technology, such as computers, video technology, communication channels providing access to other data bases. That acconts for the fact that the building of the Estonian Library greatly differs from the building of the VGBIL in the field of functional distribution of space. In the process of planning the VGBIL building the possibility of modern technology employment was not taken into consideration.

Both buildings have concert and exhibition halls, that are specially necessary in VGBIL - the centre for the promotion of foreign culture.

Different social tasks of the Estonian Library are reflected in the project of its new building. The Library is to become a cultural centre that will help to meet the requirements of the general public. The ground floor in the new building will be in the disposal of future users, where they could read newspapers, listen to music, have a look at different exhibitions, visit booths and cafés. The reading rooms, catalogues and rooms for individual work will be located on several floors.

The reading rooms of the Library are organized due to the branch principle and provide open access to the most demanded literature. The project of this part of the building is characterized by the variety of design. Besides the traditional rooms the Library will have conference and concert halls with simultaneous interpretation equipment, book museum, concert amphitheatre in the open air, children's room, relaxation centre and winter garden, special hall for the work with remote data bases. The conservation and restoration laboratories and the computation centre are to be located in the separate part of the building. These rooms have special computer and chemical equipment.

The building project takes into account the possibility to use computer and video technology, reading apparatus both in the reading rooms and places where one works. The building is provided with special energy equipment and communication networks. The exterior of the building vividly reflects the development of library technology, the extension of modern library functions.

The main problems concerning the VGBIL building are as follows. In the process of planning the building 25 years ago it was difficult to forecast the new trends in the activities of the Library that have appeared ever since. The VGBIL has become a large scientific and methodological centre on foreign literature. The research works carried in the VGBIL on conservation and restoration gained the unanimous acknowledgement in the country. The VGBIL started the formation of the automated library system that provides the access to the remote information systems. Along with this process the VGBIL takes part in the creation of the automated library system in the libraries of the U.S.S.R. Ministry of Culture.

Now among the 25 departments of the Library 10 departments form the scientific complex that employs the half of the Library's staff. This type of activity was not projected. That is why it is difficult now to assign rooms to the employees and to equip the rooms with new computer and video technology, telecommunication apparatus, condition systems. Dwelling upon the problems that the VGBIL face with in the process of inculcation of new technology the author intends to give quite a precise description of the building. The total building area is 3914 m^2. It includes a four-storeyed rectangular building with an inner yard and an eight-storeyed building of the book store.

The Library offers the users 8 reading rooms, 2 catalogue rooms (298 m^2) and numerous exhibition halls. The building is well decorated. The useful space - 17 306 m^2, the working space - 13 250 m^2, the reading rooms area - 2653 m^2, the

reading complex area - 4.000 m^2, the book store area - 7564 m^2. The similar figures for the building of the Estonian Library are as follows: the total building area - 11000 m^2, the useful space - 38271 m^2, the working space - 30800 m^2, the book store area - 12000 m^2, the reading complex area - 11500 m^2. The correlation of the two collections is 1:0,77, but the useful space of the Estonian Library building is 2 times larger, the working space - 2,5 times larger, the reading complex - 3 times larger, the book store - 1,8 times larger than in the VGBIL. In the building of the Estonian Library the area of 1.000 m^2 is alloted to the department of conservation and restoration, bookbinding department and the printing office.

The collection of the Estonian Library is smaller than that of the VGBIL but the area is larger. It is quite characteristic because the development of library technology influences upon the traditional library activity. The employment of technology makes it possible to offer more services on the basis of one and the same library collection. By the beginning of the next century the libraries hypothetically will preserve the basic book collection. Then it is possible to say that the useful square for each unit of storage increases as it is satiated with new technological equipment. The problems of preservation and promotion of world cultural heritage - the global task of libraries in the coming XXI century. They will have a great impact on the technical and architectual projects of the library buildings.

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Preservation of library materials in India : proposals and plan.

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PRESERVATION OF LIBRARY MATERIALS IN INDIA: PROPOSALS AND PLANS

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ABSTRACT

Surveys facilities for preservation of library materials i.e. old/rare books and manuscripts available in the leading universities, colleges, Institutions of National importance, departments of Government, research institutions and public libraries in India. It is observed that not much has been done so far in this direction, but most of the institutions are concerned about the deteriorating physical conditions of their collections and have plans and proposals to install fumigation chambers, microfilming units, airconditioning plants etc.. Briefly describes the steps being taken at various levels by the official and non official bodies in India to ensure longevity of these materials.

0-INTRODUCTION

Indian civilization dates back to 5000 years. The art of writing is also ancient to India. The use of writing materials like the palm leaves bhoj patras (birch bark paper) and parchment has also been quite old in India. Indian contributions towards philosophy, art, religion, scientific knowledge etc. by ancient Indian rishies and modern scholars are well known. This rich heritage of knowledge recorded on all types of writing materials is available in the country. These valuable collections in varying numbers are being maintained in various institutions viz. the research bodies, academic institutions, archival libraries, museums, government departments, special libraries, public libraries, temples, missions and private collections.

The collections maintained in the institutions are accessible and are available for use to scholars. It is however, feared that a large number of such collections are not being maintained properly and the physical condition of these documents is not in good shape.

The private collections belong to individuals who may have acquired these as pieces of art or may have inherited these have neither been located nor identified. Hence these are not accessible. The owners are hugging on to these as status symbol or precious treasures. We fear that these collections are not being maintained properly and may just disintegrate with the passage of time.

With a view to ascertain the conditions in which this rich cultural heritage in the form of old/rare books and manuscript was being maintained in the public institutions, a study was carried out, the report is presented in this paper.

OBJECTIVES OF THE STUDY

An attempt has been made in this paper to ascertain :

(a) The steps taken by the official and non-official agencies, and the government to ensure location, identification and preservation of rare/old books and manuscripts available in various institutions and in private collections,

(b) the facilities available in the leading libraries of Institutions of National Importance, Academic Libraries, Special libraries, Government department libraries, and public libraries, conducive for preservation

(c) the plans and proposals of the Government of India in this direction.

1 - PRESENT POSITION

The library materials that are already availalble in the libraries of various institutions are being maintained and made available to the users. However, the fear is that such collections are not being maintained properly and the documents are physically not good in shape for want of adequate facilities for preservation. These collections call for immediate attention.

1.1. Government Agencies

Some efforts have already been made by various agencies like National Archives of India, University Grants Commission, Raja Ram Mohan Roy Library Foundation, Ministry of Education, Department of Culture, Indian Council of Social Science Research, Indra Gandhi National Centre for Art, Indian National Trust for Art and Cultural Heritage and Private Trusts etc. to give financial assistance to various institutions for their specific proposals in connection with the preservation of old/rare books and manuscripts. For example National Archives of India invites proposals from time to time from various institutions i.e. Universities, Institutions of National Importance, Voluntary organisations, Museums, Educational Institutions etc. for preservation, listing etc. of manuscripts to provide financial asssitance. 75% financial assistance is provided for the approved project

1.2 Institutions of National Importance

The Government of India from time to time depending upon the collections and importance of an institution recognises it as an Institution of National Importance by virtue of an Act of the Parliament thereby taking over the management and control of the institution. There are 11 such

institutions i.e. National Library (Calcutta), Khuda Bakash Oriental Public Library (Patna), Assiatic Society (Calcutta) Library, Asiatic Society (Bombay) Library, Connemmara (State Central) Public Library (Madras), Tanjore Maharaja Serofji's Saraswati Mahal Library (Tanjavur) etc..

1.3. Private Collections

Agencies like Indian Council of Social Science Research, University Grants Commission, Indian Council of Historical Research etc. are funding research projects aimed at locating and identifying private collections and to make these collection accessible and serviceable by making arrangements in collaboration with the owners. For example the University Grants Commission is funding a research project sponsored by the Rajasthan University to locate, identify and catalogue the documents/manuscripts in private possessions in Rajasthan. The Xerox copies of the originals have been made for use & research and the originals have been left with the owners who were not willing to part with these inspite of their poor physical condition. There are many similar on going projects in the country. The general feeling is that the number of collections known is just a tip of an iceberg.

It may be observed from the above that official and non-official agencies are funding various proposals and projects put up by various institutions in an adhoc and an uncoordinated manner. A more concerted, and well organized movement at the national level needs to be launched to preserve the cultural heritage of the country.

2. SURVEY

2.1. Sample Size

In order to find out the extent of facilities available for preservation of old/rare books and manuscripts in the leading institutions of the country, a questionnaire (Appendix- was circulated. The questionnaire was sent to the institutio

which were established before 1950 and have collections of more than one hundred thousand documents. It is expected that institutions of this size and age have acquired some old/rare books and manuscripts which need to be preserved. The institutions have the obligation to preserve their own publications. For example the universities, government departments, research bodies, should preserve their thesis, committee/commission reports, research reports etc. respectively. The questionnaire was sent to 10 Institutions of National Importance, 30 universities 9 colleges, 24 special/ research libraries, 25 government departments and 20 public libraries. The responses were received from 7 Institutions of National Importance, 19 universities, 7 colleges, 15 research libraries, 11 government departments and 13 public libraries.

2.2 Findings & Analysis

2.21 Staff trained in preservation.

It is observed that the staff specially trained for preservation is available in 3 Institutions of National Importance out of 7, in 4 universities out of 19, in 3 special libraries out of 15, in 2 government departments out of 11 and in 3 public libraries out of 13. This is not a happy situation as preservationof rare/old books and manuscripts requires specialized training, knowledge and skills.

2.22 Fumigation

The facilities for fumigation are available in 5 Institutions of National Importance, 5 universities, 2 colleges, 5 special libraries, 2 government departments, and 3 public libraries. On the whole very few libraries have this facility, which is a basic necessity for old/rare books and manuscripts against damage due to insects. Only 2 institutions have vacuum

fumigation chamber with a capacity of 1500 documents in a single operation. Other institutions have only small manually operated chamber with a capacity of 50-60 documents at a time. From the above it is obvious that fumigation facilities wherever available are rather inadequate.

2.23 Deacidification

The facilities for deacidication are available in 3 Institutions of National Importance, 4 special libraries, 2 government departments and one public library. The inadequacy of the facility can be judged from an observation of a librarian that out of 75 documents sent for restoration to the laboratory only 2 documents could be restored in a year in that library.

2.24 Air conditioning

Among the Institutions of National Importance 2 are fully air-conditioned, 3 are partially and 2 have no air-conditioning at all. In case of other libraries 13 universities, 7 colleges 10 special libraries, 7 government departments, and 10 public libraries have no air conditioning facilities at all, and 5 universities, 5 special libraries, 3 government departments and one public library are only partially air-conditioned. In majority of libraries partially air-conditioned, the air-conditioned area houses the micro-filming/photo copying machines. The library materials ... virtually remain neglected .

Needless to say that air conditioning is an important check against damage to the books by heat, light, temperature, moisture, dust, pollutant, ultra-violet radiation, etc. .

The situation is rather depressing as in most parts of the country dust storms are common, sunlight is too bright, temperature goes upto 40° - 45°C against 18° - 20°C desirable and humidity is 90-95% against 50% safe limit to ensure longevity of books and manuscripts. Coupled with the inadequate air-conditioning facility is the acute shortage of power and endemic power cuts in supply which render even the existing facility less effective.

2.25 Cleaning & Dusting/Vacuum Cleaner

Most of the libraries reported the availability of the vacuum cleaner, but the effectiveness of the vacuum cleaners available in India in cleaning and dusting of books is rather doubtful. Many librarians agreed with this observation. The only dependable way of cleaning and dusting of books is perhaps manual. Therefore for want of resources, cleaning and dusting of books always suffers in most of the Indian libraries.

2.26 Use of Insecticides

Most of the libraries responded that they are using insecticides to keep the collection free from insects, etc..

2.27 Availability of Bindery

4 libraries of the Institutions of National Importance, 11 universities, 3 special libraries, 4 government departments and 5 public libraries are having their own binderies. This situation is not as bad as in other cases.

2.28 Photo-copying Machines.

The position about the availability of the photo-copying machines is fairly comfortable. 7 Institutions of National Importance, 18 Universities , 8 special

libraries, 3 colleges, 10 government departments and 4 public libraries, are having the machines. By and large, this facility is used to provide photocopies to the users on demand, rather than to create a Xerox copy to reduce pressure on the original documents, as mentioned by 4 Institutions of National Importance, 6 universities, 6 special libraries, 4 government departments, and 2 public libraries.

2.291 Microfilming equipment

The facilities for microfilming are available in 5 Institutions of National Importance, 8 universities, 5 special libraries, 5 government departments, and 2 public libraries. The facility is also not being used for preservation by 50% of the libraries, as indicated by 2 Institutions of National Importance, 4 Universities, 2 special libraries, 3 government departments, and one public library.

2.292 Grants/Aid/Assistance

Besides the Institutions of National Importance, which are fully supported by the public funds, 5 universities, 2 colleges, 3 special libraries and 4 public libraries have been recipient of special assistance from various official and non-official agencies from time to time. Though the grants are very small and inadequate, these are indicative of a trend towards increasing interest in preservation of library materials in India.

2.293 Plans and Proposals of Institutions

Almost all the respondents expressed their deep concern about the deteriorating physical condition of their collections

Most of the respondents among Institutions of National Importance, special libraries, government departments, public and college libraries indicated that they have put up proposals for microfilming, photo-copying, fumigation and air conditioning, but the progress is tardy for want of funds, skilled man power and space. The above survey indicates the growing concern of the librarians about preservation of the library materials, and their helplessness because of inadequate resources.

3. National Plans and Proposals

The low priority attached to the preservation of library materials is perhaps natural in developing countries. The first demand on the resources in a developing country will always be on the social welfare programmes. Therefore not much attention was paid to the preservation of old/ rare books and manuscripts by the Indian government. During the four decades of economic planning, the Indian polity has acquired the confidence to look beyond the immediate needs of the people. Since 1985 the Government of India has been taking steps to create an organisational structure in the country at the national, state and regional level to ensure a planned programme for the preservation of cultural heritage of India. The books/manuscripts are also included in the definition of cultural heritage.

3.1 The Government of India established the National Council of Arts in 1983 for coordinating the activities of institutions of arts - archaeology, anthropology, archives, museums and for providing guidelines for future plans, and programmes of such institutions and organizations. In 1984, it was decided to include libraries in the above list of institutions coming under the purview of the National Council of Arts.

One of the recommendation of the Council emphasized the paramount role of libraries in spreading culture and it was felt that the library movement needed to be strengthened all over the country by suitable financial, administrative and legislative measures.

3.2. Subsequently in 1985, National Council of Arts constituted the following 5 Committees :

a) Committee on Education & Culture
b) Committee on Mass Media including Soft-ware
c) Committee on Coordination & Linkages
d) Committee on Mobilization of Resources
e) Committee on Conservation.

3.3 A Joint Committee on Conservation, Coordination and Linkages, was constituted in 1987 with the following terms of reference.

(a) To suggest special programmes, for preservation, conservation and dissemination of cultural and natural heritage, oral & folk traditions, tribal & rural arts & crafts, and development of handicrafts.

(b) To examine the setting up of a central coordination machinery to coordinate the programmes of cultural content in planning for all relevant sectors, like agriculture, health, tribal development, communications, tourism industry etc. by first identifying all such programmes having a cultural content in the development sector & thereafter giving reorientation to these programmes.

(c) To examine the suggestion to establish a central agency to look after the nation's manuscripts, especially

the preservation of old and important books.

The Joint Committee subsequently in 1988 decided to have a well defined national cultural policy relating to the identification, documentation, conservation, preservation and dissemination of the total cultural heritage of the country. For identification, documentation and cataloguing of the cultural property, responsibilities were entursted for manuscripts etc.. to the National Archives of India and the Indira Gandhi National Centre for Art and for books, journals, newspapers & published materials to the National Library (Calcutta).

The Committee considered and recommended creation of a central apex body on the pattern of the University Grants Commission to coordinate items of work, frame policy, guidelines, provide financial grants and take necessary measures in the interest of identifying, sustaining, promoting & popularizing national cultural heritage.

3.4. The National Council of Arts has divided the country into the following seven zonal cultural centres for effective execution of its policies.

(a) North Zone Cultural Centre, Patiala
(b) South Zone Cultural Centre, Thanjaur
(c) West Zone Cultural Centre, Udaipur
(d) North-Central Zone Cultural Centre, Allahabad.
(e) North-East Zone Cultural Centre, Dimapur
(f) Eastern Zone Cultural Centre, Shantiniketan
(g) South-Central Zone Cultural Centre, Nagpur.

One of the point in the checklists of points for the zonal cultural centre is :

'Framing of programmes of action, relating to performances, documentation of arts, building up of library and other facilities. The immediate problem was the identification,

preservation and conservation of cultural resources, human and material & inculcation of an awareness of cultural tradition through education.'

A closer look into the functioning of the zonal cultural centres shows that building up of libraries and preservation of library materials has not been taken up in a significant way, but the organizational structure has been laid down for promising developments in the years to come.'

3.5 The Government of India appointed a Committee on National Policy on Library and Information System in 1986. The National Information Policy Statements has one of the objective to preserve and to make known the nation's cultural heritage in its multiple forms.

3.6 On the basis of the Report of this Committee, the Government of India appointed an action committee called Empowered Committ The report of the Committee is still awaited. It is quite likely that the report will have specific proposals for (a) the creation of a National Commission on Libraries, (b) a regular agency for granting financial assistance to various libraries for preservation purposes and assistance to institutions and scholars to locate, & to identify the older printed materials which are in private collections.

As will be evident from the above description, lot of activity is going on in the name of preservation of cultural heritage and the libraries having been recognized as one of the important vehicles for this purpose will be getting added support in an organized way according to a national plan. The impact of these developments should be visible in the next few years.

Summing up

The study deduces that old/rare books and manuscripts available in various institutions are in poor conditions of maintenance.

A lot of spade work has to be done about the private collections, to make these accessible.

The financial assistance given by the official and non-official agencies is insufficient and inadequate for preservation of books/manuscripts.

The librarians feel deeply concerned about the deteriorating physical condition of the printed library materials. They have all put up plans and proposals for the preservation of old/rare books and manuscripts but are helpless spectators waiting and watching gradual disintegration of the valuable collections for want of resources to execute their pla

The Government of India is in the process of creating an organizational structure at various levels in the country to draw up a national plan of action to preserve India's cultural heritage including old/rare books and manuscripts.

The enormity of the problem is so vast that it is difficult to conceive, inspite of the best efforts, and intention, the Government of India succeeding in its objective without a massive international technical assistance. The UNESCO has been supporting such projects in developing countries. It would be desirable that the UNESCO under its "Major Programme of Culture and the Future" comes in a big way to support projects on preservation of library materials after the envisaged structure at the national level has been created.

ANNEXURE I

State-of-the-Art. Report on Preservation and Conservation of Old/ Rare Books and Manuscripts in India.

Please return to Shri A. L. Kapoor, Librarian, Ratan Tata Library (DULS), Delhi School of Economics, University of Delhi, Delhi-110007.

Please tick below the relevant answer

1.	Does your library have old/rare books/manuscripts?	Y/N
	- If yes, what is the number? old/rare books	_____
	Manuscripts	_____
2.	Do you have a separate section for rare/old books and manuscripts?	Y/N
3.	Does your library have a specifically trained staff for preservation and conservation?	Y/N
4.	Is your library insured against accident, i.e., fire/ flood, etc.	Y/N
5.	Is your library air-conditioned?	Y/N/ Partially.
6.	Do you have mechanical gadgets such as vaccuum cleaner in the library?	Y/N
	- If yes, do you use it for cleaning and dusting of books collection?	Y/N
7.	Is your library fitted with automatic fire alarm signal?	Y/N
8.	Is your library provided with fire-fighting equipment?	Y/N
	- If yes, is it in working order?	Y/N
9.	Do you use card board boxes/wrapping materials to preserve the rare/old books, manuscripts, etc.	Y/N
10.	Do you have a bindery in the library?	Y/N
11.	Do you use insecticides for the upkeep of your book collection?	Y/N
	- If yes, which one?	Spray/Balls
12.	Do you have arrangements for fumigation of books/manuscripts?	Y/N

...P/2.

13. Do you have facilities for deacidification of books? Y/N

14. Do you have photocopying machine in the Library? Y/N

15. - If yes, do you photocopy old/rare books, manuscripts, etc. for use and preservation? Y/N

16. Do you have microfilming equipment in the library? Y/N

17. - If yes, do you microfilm rare/old books, manuscripts etc. for use and preservation? Y/N

18. Do you have a catalogue of rare/old books, manuscripts, etc. Y/N

19. Is your library re ceiving any special assistance (Equipment/ money/staff) from any State/National/International agency for preservation and conservation of your old/rare books and manuscripts ? Y/N

If yes, elaborate if you like :

_____

_____

_____

20. Do you feel concerned about the deteriorating physical conditions of your valuable collection? Y/N

21. Do you have any plans to augment the logevity of this valuable collection ? Y/N

- If yes, please described briefly.

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The Australian National Preservation Program - A Progress Report

by

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National Library of Australia

Janine Schmidt - Director, Collection Services,
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KEYWORD(S):

Library preservation

National plan

Australia

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S1: YES/NO

THE AUSTRALIAN NATIONAL PRESERVATION PROGRAM - A PROGRESS REPORT

ABSTRACT

The need to establish a national preservation program for Australian library materials was recognised in 1981. Although no national plan has yet been implemented, progress has been made in several key areas: educational programs have been established; the level of consciousness within the library community has been raised; individual institutions have addressed preservation problems; appropriate standards are being formally developed; and several committees and specialist groups have been formed.

The authors briefly outline the events of the past seven years and discuss the most recent proposal for a national plan.

THE AUSTRALIAN NATIONAL PRESERVATION PROGRAM -

A PROGRESS REPORT

INTRODUCTION

Australia is a large country with a relatively small population. It is a federation of eight States (or Territories) each with its own elected autonomous government. The States handle matters like education and the Federal government has responsibilities for areas like defence. Each State has a network of public libraries and a state library. There is a national library which has a variety of national responsibilities including production of the national bibliography. Other major libraries are the university libraries. In addition there are smaller college libraries, school libraries, and of course special libraries in industry and government.

Australia has not implemented a nationally coordinated preservation plan. The preservation of library materials was first recognised as an issue of national significance at a meeting of the Cultural Ministers' Conference in 1981. In the intervening seven years several approaches to national plans have been considered by a committee containing representatives from all major Australian libraries. Some recommendations from each proposal have been approved but no approach has been considered totally acceptable. One obstacle has been that all proposals recommended massive inputs of funds from Governments to initiate a national plan. No Government, either Federal or State, has yet provided any extra assistance, and in the prevailing economic climate additional funding of any substance is unlikely.

Although no national plan has yet eventuated, progress has occurred on several fronts. These developments have assisted in raising awareness of the nature of the preservation need, an essential prerequisite, and in building the basic infrastructure which is essential for the efficient operation of any national plan. Preservation is to be discussed again at a national level at the Australian Libraries Summit Meeting in late 1988 and continues to be on the agenda for the newly formed Australian Council of Library and Information Services.

BACKGROUND

In 1981 all Australian Parliamentary Ministers responsible for libraries and archives requested the Australian Libraries and Information Council (ALIC) to undertake a study to identify items of national significance at risk and to indicate the total cost of adequately preserving the collections in Australian libraries and archives.

In 1983 the Cultural Ministers' Conference endorsed the ALIC proposal for a preservation program which would:

- detail short term and long term requirements for developing a nationally coordinated program for the preservation of Australian library and archival collections.
- indicate the support needed from Commonwealth and State Governments.
- suggest methods of identifying items of national significance at risk.

In late 1984 and early 1985 a survey was conducted to identify the magnitude of the problem. A summary of these findings, including lists of materials of national significance at risk was produced. The author of the report, who had also conducted the survey, asserted that an accurate costing of the total preservation needs of the nation's collections could not be determined from the available data. He believed that another survey would have to be carried out to obtain the necessary information. An edited version of this report, produced in late 1985, made a number of recommendations which were approved in principle by the Cultural Ministers' Council. The Ministers, however, would make no undertaking to seek additional funding until costings were prepared.

A draft implementation document in the form of an action plan was prepared and approved by ALIC in 1986. The action plan addressed the implementation of the recommendations already made to the Cultural Ministers' Council. It outlined a short term strategy to develop procedures for identifying items of national significance at risk, to develop plans for their conservation and to identify the storage needs of the collections. The plan also described a

long term strategy outlining mechanisms for a continuing cooperative preservation effort. It suggested the use of a consultant to carry out a number of the activities.

In late 1986, a three member National Preservation Committee was established to implement the action plan. The committee consisted of preservation specialists from a State Library, the National Library and Australian Archives. The committee met once in 1986 and three times in 1987 to discuss the implementation of the action plan.

The committee unanimously agreed that, for a variety of reasons, the action plan as outlined could not be implemented in its entirety. Both the short term and the long term strategies were found to contain some recommendations which were either extremely difficult or impossible to implement. It was also considered that some recommendations were not cost-beneficial. The action plan was favourably received at the 1986 IFLA Preservation and Conservation meeting in Vienna. Consequently, the difficulties associated with its implementation are summarised below.

The essentials of the short term plan were to:

- form national and state committees.
- agree on definitions of national significance.
- agree on institutions to be included in a national plan.
- conduct a second survey to identify items of national significance at risk.
- obtain priority listings from States.
- compile a national list of items at risk in priority order.
- determine costings for preservation treatments and storage requirements and to seek funds from Government.

As already discussed, a national committee was established and was active from late 1986 until mid-1987. The national committee initiated the formation of the state committees. A list of activities to be undertaken by the state committees has been compiled.

The definitions of 'national significance' and 'at risk' have been clarified and the institutions to be included in a national listing have been explicitly defined.

The need to conduct additional surveys to obtain more accurate costings of the preservation needs of Australian library and archive collections was discussed at length by the national committee. It was decided that the magnitude of the problem was such that accurate estimates of the cost were impossible to determine at this stage. It was also considered that a further survey would not necessarily provide usable data on which to base decisions for future. It was considered, however, that although there were a number of problems inherent in the 1984/85 survey because of inconsistent use of terms, the results from that survey could nonetheless be treated as a representative sample from which to extrapolate the total picture.

The committee has carefully examined the results of the 1984/1985 survey and has estimated approximate costs. The feasibility and desirability of compiling a national list of items at risk was questioned by the committee. The complexity of compiling a list reflecting national priorities was considered to be overwhelming. Individual institutions will ultimately be responsible for the preservation of materials in their care, just as they are for their acquisition, organisation and storage.

The long term strategy involved employing a consultant for eight months to prepare a concerted, coordinated, ongoing plan for the preservation of materials throughout Australia. The essential tasks were to:

- develop a three tier network based on local, state and national involvement. To describe the roles and responsibilities of each level and to determine their costs.
- conduct at least two brittle book surveys and from the results of these to predict costs for a national microfilm program.
- conduct a manpower planning study.
- develop training programs.

- develop programs for stimulating public awareness.
- encourage institutions to prepare preservation programs.
- encourage publishers to use better quality materials and processes.
- identify research needs and initiate research projects.
- initiate the development of appropriate Australian standards.
- establish information networks.

After examining each of the above proposed activities the committee decided that because progress was already occurring in most of these areas, and because additional funds did not appear to be forthcoming, and because ultimately action would reside with the institutions, the appointment of a consultant was not advisable. The committee prepared a report recommending that the plan be reassessed and modified. The report also described progress to date and made recommendations for future action.

The committee's report was considered by ALIC in July 1987. Most of the recommendations which were based on developing and expanding existing activities were supported by ALIC but the prime recommendation that submissions be made to Governments to request additional funding for preservation activities was rejected. The reason given for rejection was that the costings were incomplete.

Implementation of recommendations which were supported has been delayed due to uncertainty concerning the role of the Preservation Committee. This uncertainty has resulted from the disbandment of ALIC in early 1988. A new body, the Australian Council of Library and Information Services (ACLIS) has been formed but to date it has made no formal statements concerning the future role of its various committees. An amount has been allocated in the budget to the activities of a Preservation Committee, so it can be assumed that its work will continue in some form.

PROGRESS TO DATE

Development of Australian Standards

Following initiatives from the Library Association of Australia and the National Library of Australia, a committee of the Australian Standards Association has been established to develop standards for the permanence of paper and board. A draft standard for the permanence of uncoated paper, broadly based on the American standard (ANSI Z 39.48 - 1984) has been prepared and circulated for comment. Work is to commence shortly on the preparation of draft standards for other types of paper.

Conservators from Australian Archives and the National Library of Australia have been very active on the committee which is developing an Australian standard for the storage of microfilm. Work has also commenced on developing other aspects of microfilm standards.

Stimulating Awareness of Preservation Issues

The various professional associations concerned have all been active. The Archival Paper Action Committee of the Australian Institute for the Conservation of Cultural Materials has undertaken a twelve month program to promote the benefits of permanent paper. The program includes: supporting initiatives to develop Australian standards relating to permanence and durability for selected grades of paper and board; preparing a brochure on permanent paper; identifying an independent paper testing laboratory; gaining acceptance of the benefits of permanent paper by government authorities, printers, and publishers; and gaining tariff concessions for paper used in preservation and conservation. The committee's greatest achievement so far has been to heighten awareness among federal and state politicians of the benefits in using permanent paper for important records and publications.

Activities of the Library Association of Australia (LAA) associated with increasing the awareness of librarians to library preservation include: sponsoring seminars and workshops, holding essay competitions, establishing a special interest group in library preservation, publishing a regular feature on

preservation in its newsletter, and investigating the possibility of conducting a preservation survey.

Establishment of Training Programs

This year the Canberra College of Advanced Education, which operates the only training program in Australia for conservators, offered two new units in the Preservation of Library and Archive Materials. These courses are designed to be relevant to both library and conservation students. At least two library schools are offering training in library preservation and the subject has recently been introduced into one training program for library technicians.

Developments in Individual Libraries

In addition, the National Library has an extensive preservation program, and most of the State libraries now operate preservation programs. One of these, the State Library of New South Wales, has recently expanded considerably its preservation program. The State Library of Victoria has placed considerable emphasis on preservation. In South Australia a conservation centre is jointly funded by all the cultural institutions. Support for preservation activities is increasing and another encouraging development is the increased attention being paid to preservation in the major university libraries.

National Register of Microform Masters

Recommendations to establish a national register of microform masters have been received from various quarters, including consideration of its amalgamation with the existing Australian Bibliographic Network. ABN began as a shared cataloguing system, but is now the basis of the national bibliographic database and interlibrary loan network, recording holdings of libraries throughout Australia. The National Library has conducted a pilot study into the feasibility of developing a national register of microform masters, and is now investigating its implementation.

Other Activities

The National Library of Australia and the State Library of New South Wales already have a joint project for microfilming N.S.W. country newspapers.

Other State Libraries also microfilm newspapers, and the University of New England has made a commitment in this area. No real coordination of this activity occurs. Experiments with conversion to videodisc and CD ROM are also occurring.

FUTURE PROSPECTS

Australian Libraries Summit Meeting

Australian librarians will address the major issues facing their institutions at the Australian Libraries Summit Meeting to be held in Canberra from 17- 19 October 1988. Preservation is one of the key issues.

The discussion paper on library preservation proposes a two pronged approach to setting up the first stage of a national program. This proposal was formulated after an examination of both the report by the Preservation Committee of ALIC and the views of ALIC on the recommendations made in that report. The two components of the proposed plan are:

- the adoption of a coordinated project, such as the microfilming of Australian newspapers; and
- the establishment of a national preservation office.

It is anticipated that the microfilming project should be achievable without massive increases in existing resources. The experiences gained and the networks established during the execution of such a project should strengthen the existing infrastructure enabling the efficient management of future national projects. Issues which would have to be addressed if such a project was undertaken include: the development of an Australian register of microform masters; the development and standardisation of a preservation bibliographic system; the off-site storage of duplicate master negatives; the methods of obtaining reasonable prices for commercial microfilming; investigations of alternative technologies; funding strategies; raising public awareness of the need for preservation priorities. Resolution of these issues is critical to the success of a national plan.

While it is recognised that the formulation and implementation of such a national project would greatly assist the development of a national preservation program it would not provide the total solution. Issues which would not be addressed include: education; research; standards; cooperation with archives; and international cooperation. It is proposed that a National Preservation office be established to maintain the links developed during the conduct of the microfilming program and to carry out other coordinating activities. Given the federated nature of this country, its geographic structure and existing networks, some of the activities of a national preservation office might best be distributed, utilizing existing resources and institutions, with coordination occurring centrally. It is anticipated that the preservation activities of ACLIS will continue and preservation committees in each state and territory would also participate in achieving the above aims.

CONCLUSION

The Australian experiences in attempting to develop and implement a national preservation plan provide an interesting case study in the difficulties associated with establishing a national plan in a country which has both Federal and State Government systems, a wide geographic distribution and an underdeveloped sense of the need for preservation of its national heritage.

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STATUS OF LIBRARIANS IN ASEAN COUNTRIES

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STATUS OF LIBRARIANS IN ASEAN COUNTRIES : WITH SPECIAL REFERENCE TO MALAYSIA

by

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Library Association of Malaysia

Introduction

In attempting to study the status of librarians in what originally was to be for the Southeast Asian region, I soon realised that this would be an impossible task. Geographically, Southeast Asia covers too wide an area with varying political, economic and social development and situations. Political upheavals in Laos, the Khmer Republic and Vietnam have resulted in total lost of contact with librarians from these countries. Information on the library development and contact with librarians from Burma is also woefully nil. I have therefore decided to concentrate on the five ASEAN[1] countries of Singapore, Malaysia, Thailand, Philippines, Indonesia and Brunei. Except for Thailand, all have been former colonies of Western powers which have influenced library developments and the library profession of the countries.

Usually when one talks of status of a profession, it is almost always considered within the context of conditions of services and salary scales. However, the challenge for the librarian in seeking to find his job status is to achieve recognition of her or his skills. Librarians in ASEAN countries have the tendency to view their own profession with a certain sense of negativism and prestige deprivation when they compare the status of their occupation with other types of professional work. Why is this so? What is the profession's dilema? Surely job status

1. ASEAN is an acronym for Association of Southeast Asian Nations, a cultural and economic grouping.

should not be tied up to merely dollars, ringgits, bahts, rupiah or pesos.

In considering the status of librarians in ASEAN countries, other issues should be considered, these being :

1. The professional status of librarians
2. Status of librarians compared with other professionals
3. Acceptance of librarians by society

These issues will be discussed in general since it is applicable to all the countries in the ASEAN region. However, to highlight certain points, I will refer to specific examples or conditions in Malaysia, an area I know best. This is also because certain information, for example salaries and terms of services, are considered classified information in some countries.

The Professional status of librarians

Librarianship in ASEAN countries is a relatively new profession compared to Europe, United States or Australia. Librarians and library associations in these countries are still trying to convince the authorities that librarianship is a noble profession that deserves a place amongst other more well-known professions. There is great concern amongst ASEAN librarians that librarianship is still not recognised as a full-fledged profession by their respective government since the status of librarians is very much dependent on this recognition.

For librarianship to be recognised as a profession, it should have certain attributes. Radha Rasmussen, in her paper for CONSAL VII, has outlined these as :

i) Possession of a skill based on theoretical knowledge
ii) Provision of training and education
iii) Testing of competence of its members
iv) Formation of an organisation
v) Adherence to a code of conduct

vi) Community sanction or acceptance[2]

Zaiton Osman has also listed attributes which can be used as variables to measure the level of professionalisation that librarianship has under gone[3]. These are :

i) The existance of a corpus of theoretical and specialised knowledge.
ii) The existance of a long period of education and training.
iii) The existance of a service based on the ideal of collective altruism.
iv) The promotion and maintenance of standards to ensure quality.
v) The autonomy to conduct its affairs.
vi) The existence of an organised professional association.
vii) Legal and public recognition of its professional status.

Status depends on professional skill while the skills and competence of ASEAN librarians will depend on the theoretical and practical training obtained in library schools. A substantial number of practicing librarians in Malaysia, Singapore and Brunei obtained their professional qualifications either as a first degree or at postgraduate level from U.K., U.S.A. and Australia. Except for Brunei and Singapore, all the other ASEAN countries have library schools. Indonesia has a Department of Library Science attached to the University of Indonesia and also at the Gajah Madah University. Short courses and one year part time courses have also been introduced at various institutes in Indonesia. The situation in Philippines is similar. Where until 1923 only the University of Philippines offered a library science course, the post-war period saw a mushrooming of various library science courses, mostly at undergraduate level. Thailand is similar to Philippines in that library education has been greatly influenced by the Americans. The first library school was formed in 1955 at Chulalongkorn University offering courses at undergraduate levels. Today library science courses

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2. Rasmussen, Radha. Professional education and development of librarians in the ASEAN countries, pp.160
3. Zaiton Binti Osman. Occupation or profession : the Malaysian dilema, pp.69

at undergraduate level are also offered at the Universities of Thamanasat, Ramkhamhaeng and Chiengmai. In Malaysia library education development came later. Recommendations were made by the Persatuan Perpustakaan Malaysia to establish a library school at the University of Malaya in 1965, but when the school was finally established in 1968, it was as a Department of Library Science at MARA Institute of Technology (MIT). Up till 1972, the students were prepared for the LA (UK) professional examinations but in 1973 this was phased out and replaced by a three year course leading to the MIT Diploma in Library and Information Science. A one year postgraduate course has been introduced since 1974. Last year, a postgraduate course was also introduced at the University of Malaya which is a full time one and a half year course leading to a Master in Library and Information Science. Singapore has no library school but in 1982 the Library Association of Singapore together with the National Library of Singapore started a part time postgraduate course but which was discontinued last year as it proved to be inefficient and time-consuming.

The quality of the education programme in all these schools varies as the standard varies. Qualifications varies from certificates and diplomas to Bachelor's degree and Master's degree. Most of the library schools faces the problem of poor facilities, heavy teaching loads and heavy dependence on part time lecturers. The quality of the content of the courses, the quality of the teaching staff and the establishment of courses of dubious quality and standards are the main criticisms of these schools. It is thus not surprising that librarians in ASEAN countries as a group have failed to make any significant impression to their authorities and society.

A number of professional librarians appear to be good only with routine or clerical activities and failing to understand fully their central function. Because the librarians own view of their home-trained professionals is low, the professional self-image itself is also low. A higher status can be achieved if the library training has the required recognised standard based on an intellectual foundation that is strong and unique.

Status also depends on the professional skills that the librarians provide to the public after gaining library education. There is a great need for librarians in this region to be trained on their job and a need to regularly test the competence of the practicing librarians.

Research in librarianship can do much to improve the quality of the library profession, but unfortunately not much research has been done by ASEAN librarians. This may be due to the fact that librarians in this region lack the expertise to do reserch or are too tied up with their daily office routine. This can be considered as a great loss to the profession since any professional literature produced by local research will help to disseminate new knowledge and assist librarians in their daily task of planning, decision making and improving their skills. For the library profession to be professionalised, there must exist a corpus of theoretical and specialised knowledge. This has been expounded in great detail by Zaiton Osman[4].

Radha Rassmussen is of the opinion that"... librarianship as practiced in Southeast Asia does not have all the attributes of a profession as yet"[5] and therefore have not achieved the professional status aimed at. This is unfortunate because "librarianship has a uniqueness that is not possessed by the other established professions. While other professions have a specific branch of knowledge to gain before practices, librarianship is based...on all knowledge for all professionals"[6]. It is a profession based on knowledge. However to obtain the same status as other recognised professions, the minimum qualification must be equal to them i.e. a basic degree. Zaiton Osman insists that "a university degree is essential if the library profession were to achieve public recognition and acknowledgement of it's professional status"[7]. This is especially

4. Zaiton Binti Osman. Occupation or profession : the Malaysian dilema, pp. 70 - 71
5. Rasmussen, Radha. Professional education and development in Malaysia, pp. 166
6. Ibid. pp.165.
7. Ibid. pp.72

so in Malaysia and Singapore where the society is an elitist soceity and a university degree is regarded as the basic criteria for membership into the elite group. An advancement of the profession is essential in order to raise the status of the profession in the ASEAN region. As emphasised by Zaiton Osman "professional status must be supported by high professional standards. The promotion and maintenance of standards is essential to justify the professional status of the profession"[8].

Status of librarians compared with other professionals

Established professions like law, medicine, engineering, dentistry and architecture have its intellectual foundation and specialised techniques exclusive to each profession. While librarianship has exclusive techniques like cataloguing and indexing, these techniques can be mastered and practiced by any unqualified person without any risk to society. Librarianship is in the same category as teaching where almost anybody can call himself or herself a teacher, so long as he or she seems to be doing some kind of teaching. The other established professions with an acknowledged high status in society is also synonymous with good salaries, high positions, popular image and an established reputation. The identity crisis that librarians in ASEAN countries face is due to lack of status and prestige which have rendered the library profession incapable of seeing beyond their salary scales. In Malaysia, qualified librarians would like to believe that their income and qualifications are at par with members of the other profession, but as Zaiton Osman has observed".... although individually the librarians may not be discriminated against in terms of salary and terms and conditions of service, collectively librarians do not have the image status and power like members of other professions"[9]. The situation in Singapore is also the same.

In Malaysia, qualified librarians in the government service are emplaced

8. Ibid. p.73
9. Ibid. pp 79

at the professional level (Category A) and also semi-professional level (Category B). For the professional level, the basic qualification is an honours degree plus a recognised professional qualification which emplace the librarian on a higher salary scale of Category A (A19) than a librarian with a pass degree plus library qualification or a librarian with a degree in library and information science (at A22). It would seem that professional status as perceived by the Malaysian Civil Service is based on qualifications but anomalies exist. There are cases especially in the public libraries sector where holders of the Diploma in Library and Information Science from MIT which is recognised as a first degree and on Category A salary scale are holding posts at Category B salary scale. This has deemed them to be semi-professionals as far as the Malaysian Civil Service is concerned. It does seem therefore that the recognition of professionalism does not take into account different types of library qualifications available today. The assumption is that all Malaysian librarians possess the same type of qualification - a degree and a professional qualification.

In terms of salary as well as terms and conditions of service, librarians in Malaysia and Singapore are on almost equal par with other professionals. Any extra benefits received by certain profession like doctors is based on the number of years of study to qualify in that profession. The tables below shows the different salary scales in the Malaysian and Singapore Civil Service.

Profession and qualification	Salary Code	Basic First Salary per month	
		Ringgit	US$
1. Senior librarian (Hons. Degree + library qualification + minimum 5 years service on Librarian Scale)	A11	2095	805
2. Librarian (Hons. Degree + library qualification)	A19	1060	408
3. Assistant Librarian (Pass Degree + Library qualification)	A22	940	362

Profession and qualification	Salary Code	Basic First Salary per month	
		Ringgit	US$
4. Assistant librarian (Diploma in Library Science or Degree in Library Science	A22	880	338
5. Education Officer (D1) (Hon. degree + Dip. in Education)	A19	1060	408
6. Education Officer (D2) (General degree + Dip. in Education)	A21	940	362
7. Senior Doctors	A11	2095	805
8. Doctors	A15	1360	526
9. Trainee Doctors (houseman)	(Allowance)	1180	454
10. Senior Civil Engineer	A11	2095	805
11. Civil Engineers	A18	1120	431
12. Electrical Engineers	A18	1120	431

Table I - Salaries of different professions in Malaysia

Profession and qualification	Salary Code	Consolidated first salary per month	
		Singapore $	US$
1. Librarian Div. I Grade VI	1210	2675	1338
2. Librarian Div. I Grade VII (Hons. degree + library qualification)	1470	1550	775
3. Librarian Div. I Grade VII (Hon. degree in Library Science	1470	1350	675
4. Librarian Div. I Grade VII (Pass degree + library qualification	1470	1100	550
5. Senior Education Officer I	1155	3275	1638
6. Senior Education Officer II	1270	2050	1025
7. Education Officer	1440	1240	620
8. Dental Officer	1290	1800	900

Profession and qualification	Salary Code	Consolidated first salary per month	
		Singapore $	US$
9. Accountant Grade V	1170	3275	1638
10. Accountant Grade VI	1320	1600	800
11. Medical Officer	1260	2050	1025
12. Houseman	1310 (Allowance)	1620	810

Table II - Salaries of different professions in Singapore

A common problem with the library profession in ASEAN is the numerous salary scales and grades and the varying entry points according to the different types of library qualifications. They are also inclined to be grouped together with ralated professions like educationists and lecturers rather than with the profession that possess special knowledge and talent like doctors and engineers.

The salary status of librarians in the five ASEAN countries vary greatly. Any comparision of a librarian's monthly income amongst these countries will have to take into account the country's per capita income and standard of living. Librarians working in Singapore, Brunei and Malaysia are in the higher income bracket compared for example to what librarians in Thailand earn.

Grade	Country	Salary per month in US$
1. Senior Librarian	Singapore	1338
	Malaysia	805
	Brunei	1900
	Thailand	380

Grade	Country	Salary per month in US$
2. Librarian (Degree + postgraduate library qualification)	Singapore	775
	Malaysia	408
	Brunei	1100
	Thailand	267
3. Librarian (Degree or Diploma in Library Science	Singapore	675
	Malaysia	338
	Brunei	950
	Thailand	190

Table III - Comparision of salaries for librarians

It cannot be denied that the status of an acknowledged profession is often linked with salary. Salary can be used as a measurement of the level of professionalism that an occupation has undergone, but to use salary alone as a criteria to determine whether the status of librarian is on par with doctors and engineers would be misleading.

Acceptance of librarianship as a profession by society

Librarians have always adhered to the service principle that ensures services provided by the profession should be client-orientated and be above profit-making. They provide services for the collective benefit of society. This service principle is embodied in the Code of Ethics which in itself seems simple enough to perform. But the librarians' Code of Ethics is always difficult to difine simply because librarians cannot distinguish what are considered professional duties and what are not. Thus standards to ensure quality of service to the public cannot be enforced due to the non-existence of a Code of Ethics in almost all the Asean countries (only the Philippine Library Association has a Code of Ethics). The more established professions like doctors, accountants and lawyers have their own Code of Ethics which are made known to the public. Society's acknowledgement of their professional Code of Ethics

have also given their profession the high status in society.

Is the librarian's role vital in ASEAN Society? Libraries are already acknowledged as essential and library development has gained impetus in Singapore, Malaysia and Thailand, yet librarians are still looked down upon. I am tempted to put the blame to the domination of women in the profession and thus putting the profession on the same level as nurses and teachers. I would however like to believe that sex has nothing to do with the status of a profession. What really determines the status of the profession is the librarian's image, its role in society and the extent of its responsibility.

The term librarian has been abused and misused and this has given society a cloudy image of a librarian. A clerk with no library qualification employed to manage a library is a librarian in the eyes of ASEAN society. In Malaysia, a large number of libraries in government departments and ministries are managed by clerks with qualifications only at GCE level. There is a need for ASEAN library associations to convince employees of effective library services which can be provided only by qualified librarians.

There is a need for librarians to interact more with the public so as to give the public a chance to know the true nature of a librarian's job. En excellent public relations plus a high standard of service would boost up the image of a librarian. A sense of pride in being a librarian is what is really needed from librarians themselves. The librarian's own self-image would to some extent determine the public's image of a librarian. Projecting the right image is crucial because social recognition can boost the status of libraries and put pressure on the authorities to act in the interest of the profession.

The Role of the library association

The library association serves as the voice of the profession. Its main aim is the advancement of the profession which will result in raising the status of the profession. The Persatuan Perpustakaan

Malaysia, for example, is in the best position to raise the status of librarians in Malaysia because, as outlined by Zaiton Osman :

(i) To a certain extent its members are organised and united and committed.

(ii) Its members are drawn from all types of libraries, cutting across institutions and experiences.

(iii) To a certain extent it has the status and influence as the representative of the profession[10].

Library associations will need to promote the status, interest and welfare of its members. Members of the PPM have not renewed their annual subscription due to some extent to disillusionment with some of failures of the association and they have not gained personally by joining the association. The PPM has a Standing Committee on Professional Status of Librarians to prepare a Code of Ethics which is still at the draft stage.

The Future

There is a need to promote the development of the library profession in order to achieve a status at par with other well-established profession. What does the future hold for the profession? With the advent of computer technology to the ASEAN region, librarians must be able to incorporate the new'information science' to their traditional knowledge of'library science' and equip themselves with the new skill. The status of the library profession will rise once the public accepts this new role of the librarians and the necessity of librarians as information providers. Technological changes could make the role of the profession more, not less, important.

The future of the profession is bright, but librarians themselves must

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10. Zaiton Osman. The role of the professional association in preparing its members for new trends, pp. 40

make a conscious effort to develop and raise the status of the profession. We have to build public confidence in the services provided by librarians and place 'information' as a necessity in society on the same status as 'medicine' and 'law'.

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The National collection of Audiovisual Materials: some problems and practices

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Audiovisual materials
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Deposit collections

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National collection of AV materials: problems and practices

A brief summary

The subject of how to collect, preserve and make available the vast amount of audiovisual material now in circulation is not new. Throughout the world, attempts - some more successful than others - have been made to preserve items which appear in non-traditional library formats. This paper aims to examine the arguments for the deposit /collection of audiovisual materials, to discuss a number of problems with regard to the preservation of these materials, and to indicate ways in which national organisations can collect and make accessible non-book formats.

Definitions

First, I think it would be useful to define what we mean by audiovisual materials - also, to describe the different methods of acquisition used in order to form a national collection.

a) *Formats.* The range of items which can be described as audiovisual or non-book is immense. We are referring to items as diverse as picture postcards to the most sophisticated piece of computer software. For this paper, I shall restrict my comments to those groups of materials which require a mechanical device to gain access to the contents:-

a) Sound recordings - discs, cassettes, open reel tape, broadcast material
b) Film and video - all the various formats including broadcast material
c) General AV materials - e.g. filmstrips, slides, tapeslide programmes, multi-media kits, OHP transparencies
d) Computer software - cassettes, disks, printed programs, 'on-line' programs

b) *Methods of 'collection'*. This will include statutory as well as other methods of deposit:-

a) *Legal deposit.* This is the means whereby a copy or copies are sent automatically or upon request to designated depositories as a result of government legislation. Deposit may be exhaustive, or comprehensive, or selective, but whichever it is, it is enforceable by law.
Examples: France, Finland, Sweden (comprehensive);
Canada (selective).

b) *Copyright deposit.* The purpose of copyright deposit is to register an item for protection from copying. This occurs particularly in those countries where copyright is not automatic upon publication. It does not always involve the permanent deposit of an item in a collection, but may be just a full description of contents with photographs - particularly if it is an expensive format, such as film.
Examples: Brazil, Spain, USA.

c) *Voluntary deposit.* This results from negotiated agreements with trade associations who recommend their members to deposit a copy or copies of their materials in a national depository. Deposit is, therefore, a gesture of goodwill by the industry. It may be comprehensive or selective; for example, it may only include items with a national content.
Example: Switzerland

d) *Purchase.* All deposit systems include some provision for purchasing items, depending on deposit arrangements. For expensive items, where it will clearly be a burden to a small producer to provide extra copies for deposit, there might be the possibility of outright purchase or some compensation for the expense. In addition, a national collection might wish to add items produced abroad, yet which have a national content.
Example: New Zealand (though voluntary deposit is also cited).

Desirability of a national collection of audiovisual materials

I shall begin, provocatively, by stating that it is difficult to see why the desirability of collecting audiovisual materials should be in any more doubt than the desirability of collecting printed materials. A national collection of printed materials is often the result of some form of legal deposit procedure. If there is to be a deposit system, then it is relevant to look at the criteria for such a collection. The most important criterion is a recognised desire that there should be a record of the intellectual ideas, thoughts and achievements of a nation, and that the collection should reflect the social and cultural developments of a country. Today, when information is transmitted by a variety of means (and technology is constantly changing), it would therefore seem logical to extend the policy of deposit to include non-print formats. When information and ideas are transmitted faster through electronic means such as television, radio and computer - and, indeed, may never be recorded in any other form - it is important that a record of these powerful influences on society should be kept.

As one example of how important it is to preserve audiovisual materials, I would ask you to consider the impact of music on society. To understand fully the intentions of a composer (whether classical or contemporary), it is necessary to listen to the music, e.g. Rachmaninov playing Rachmaninov. Music invites a response to sound, and as such, there needs to be a collection of sound carriers which intepret the written musical symbols. In addition, much of today's music is not published in the traditional sense - it is available on hire only - with the result that it need not be deposited anywhere. In time, it is likely to be lost altogether to future generations of researchers - unless some 'record' of it is preserved somewhere. Another example relates to traditions and cultures in developing countries, where the art of the oral tradition is so important. Once these stories and customs disappear without being recorded, then they are lost forever.

With regard to researchers' needs, I would mention that there are an increasing number of academics researching into modern social and

historical issues who find audiovisual materials essential to their studies. Radio and television can influence society far more than the most reasoned article ever written in a newspaper of journal. Political leaders, Royalty, ordinary people speaking about issues of the day, can all have a most powerful influence on society. Imagine an American election without broadcasting; think of the effect of a bad interview on a politician's career! The impact of broadcasting on society, the ways in which the media portray specific issues, all highlight the need to devote sufficient resources to their collection and preservation - if we are fulfil that most important criterion of preserving items which reflect the life and culture of a nation.

A side-product of legal deposit for printed items has been the publishing of a national bibliography, based on the holdings of deposit collections. We value the importance of bibliography for printed materials; surely we should seek to record non-print publications similarly? Some countries are attempting to do this, but the vast majority make no such provision.

Surveys

In 1983, in response to a request from the British Library and as part of a study looking at the feasibility of legal deposit for audiovisual materials in the United Kingdom, I undertook to do an international survey to find out what was happening in other countries. 55 countries responded out of 112 which were circularised. 37 countries indicated that there was some attempt to collect audiovisual materials, ranging from the most highly selective (virtually private) collection, to the total, comprehensive public collection. 25 indicated they had statutory deposit. It was not always easy to identify the most appropriate organisation to approach, and with the additional difficulty of language, the results are more indicative than factual. However, although the picture which emerged was very varied, some problems remained the same for all - whether the country had a well-developed system of collection or a poor one.

The general results of the survey indicated that the range of audiovisual items held in the deposit collections was extremely varied, but that sound recordings, film and video were the main categories of material stipulated for deposit. Many of the 'younger' countries, establishing their legal deposit laws for the first time, were taking care to include audiovisual materials. Broadcast programmes were regarded by many countries as natural material for retention.

More recently, the International Federation of Film Archives (FIAF) and the International Federation of Television Archives (FIAT) completed a survey relating to collections of moving images. Once again, difficulties in language and of identifying suitable sources emerged. The results for this more specialised survey were extremely gloomy, with not one nation - developed or developing - with adequate resources to cope with all the demands which are increasingly being made with regard to film preservation. In particular, both organisations cited the very critical situation facing colour film, which is difficult and costly to preserve accurately.

Problems

General. In order to extend any national policy of collection to include audiovisual materials, there needs to be a clear understanding as to the implications. Support and interest at government level is essential in order to obtain the funding needed to maintain any scheme. An impressive example is that of Thailand, where the involvement of a Minister released a building and funding to establish a national film archive which is the envy of other nations.

Another basic consideration is that the staff who will be organising the archive collection should have had recognised training. Training is a major problem because of the limited opportunities available. Last year, at IFLA in Brighton, Peter Mazikawa (Zimbabwe) as Secretary of the ICA Committee on AV materials, spoke of the need for better training opportunities worldwide. Unesco has begun to address this problem and has already set up a special committee to consider how to implement a

number of specific proposals. Training will always be necessary, and with more audiovisual formats appearing as the years progress, there will need to be greater attention paid to this aspect.

Collection of materials. In order to collect, one must identify publications and producers. What is the definition of the term 'publication', when applied to audiovisual materials? The very nature of some formats, e.g. computer software, means that copies for distribution can be made at a press of a button. In her work on legal deposit, Jean Lunn refers to "publications of all kinds reproduced in any medium by any process for public distribution, lease or sale". This is a vast area, covering many forms of communication and there would need to be great vigilance to ensure that all items of significance were collected and preserved.

The method of collection will vary from country to country and in relation to the number of producers identified. In a large country with a scattered audiovisual industry, the problem is to ensure that producers are aware of the existence of the national collection and that they appreciate the value of deposit. It may be practical to collect locally, so identifying with the local community - even if the items are stored elsewhere in a national collection. Where legal deposit is in force, the 1983 survey revealed that penalties for non-deposit were rarely applied, so weakening the deposit regulations. Obviously, there should be strong and effective penalties for non-compliance, with fines based on an expressed multiple of the cost of deposit, rather than a specific sum of money which quickly becomes outdated in time.

Preservation. Storage must always be to optimum standards with appropriate support facilities, e.g. laboratories for film archives. Financial considerations will dictate the most economical solution to this problem, but unless a country plans to high standards, there may be no archive after a few decades because the items within have deteriorated beyond recall. Nitrate film needs constant attention if it is not to be reduced to powder or flames; colour film is susceptible to colour changes.

Whether to preserve an item in its original format or not is a much debated question, which I do not intend to discuss here. I merely draw attention to the fact that technological developments result in new audiovisual formats appearing on the market. Sound recordings on wire or cylinder are excellent museum objects indicating the history of the technology, but how accessible are the contents of those items today? Multiply the many formats in sound technology with those in film, video, computer software (to name but a few), and your national collection of audiovisual materials will soon resemble a museum of technology.

Therefore, it is necessary both for preservation and for access purposes, that adequate preservation facilities and the ability to transfer items to more contemporary formats are available.

Accessibility. The whole argument for establishing a national policy for the collection of any kind of information carrier - book or non-book - is that they should be available for researchers and others to access. With regard to audiovisual materials, there are a number of ways in which this might be achieved. From a practical and financial point of view, it would be difficult for countries to maintain multiple collections of audiovisual materials, even if it were desirable. However, with the advances of telecommunication systems, it should not be impossible to establish regional centres where users can gain access to materials in a centralised depository, which may be located hundreds of miles away. For example, it should be technically possible for someone in a designated archive centre in Melbourne or Perth to link up with the National Film and Sound Archive in Canberra.

This is an appropriate point to mention copyright and other related rights restrictions. Because of the nature of many audiovisual productions, i.e. that they are performance materials, certain permissions may need to be obtained in order to consult items - or make them available for consultation. Deposits in paper archives often carry an undertaking that no consultation should take place within thirty or fifty years. The same can apply with audiovisual archives, and some agreements are quite restrictive. For example, the

International Federation of Film Producers Associations (FIAPF), whilst acknowledging the benefits of depositing films in archives, lays down specific instructions as to their use:-

> " The use to be made of the film by the archive shall be limited to preserving it on the archive's premises, and to providing for the private study thereof, on the said premises, by limited groups of bona fide students and film professional engaged in serious research. ..... No other performace shall take place without the written approval of the producer. .....

The point I wish to emphasise is that audiovisual items may be subject to various rights restrictions. An archive would therefore need to keep an accurate record of these rights against each title, in order to clear them for consultation purposes, where appropriate.

Role of national libraries

A national library, whether it assumes total responsibility for the deposit of non-book materials (collection, preservation, access), or whether it devolves responsibility on a number of other institutions, can still play an important role. A national library is or should be the focal point for access to information, whatever the format, and therefore should be responsible for ensuring that the national output of recorded knowledge is preserved, recorded and made accessible.

Situations will vary from country to country, just as the functions of national libraries may also differ. Their ability to initiate national discussion is, however, very relevant. As already mentioned, in many of the developing nations - where deposit laws are being drafted for the first time - the opportunity is being taken to include audiovisual materials, and where existing laws are being revised, the feasibility of including audiovisual materials is also being studied. Progress will be gradual, and will depend on many factors - the size of the industry in that country, the availability of financial resources and of adequate accommodation being important aspects.

Nevertheless, a national library can play a major role in alerting a government to the importance of collecting audiovisual materials. Government interest, commitment and practical support is essential for the success of any national collection. A national library which is involved in the development of a national audiovisual collection (or collections) can be said to be working towards fulfilling that first, most important criterion of deposit, that of preserving a nation's cultural heritage.

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